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ABSTRACT

This kit contains a collection of representative documents on performance review procedures in academic and research libraries. Multiple documents from the Pennsylvania State University Libraries include a management guide to performance evaluation, a memo on performance evaluation from the librarian, and forms and instructions for use of both the librarian performance evaluation and the clerical-technical service performance evaluation forms. The collection also contains: "Performance Evaluation Guidelines" (University of Washington); "Evaluation Program for Librarians" and "Librarian Interviews" (Wayne State University); "Profile of Professional Activities Format" (Indiana University Libraries); "Ad Hoc Committee on Professional Criteria Final Report" (Indiana University Libraries); "Performance Appraisal Program" (Stanford University); "Rating Scale Evaluation of Professional Librarians" (Duke University Library); "General Guidelines for Professional Performance Appraisal" (Columbia University); "SEC Evaluation Form" (University of Illinois); "Professional Performance Review" (University of Kentucky Libraries); "Suggested Criteria for Promotion of Library Faculty" (Notre Dame University); "Job Performance Evaluations for Non-Academic Staff" (Washington University Libraries); "Promotion Plans for Librarians" (University of Maryland, College Park); and "Performance Evaluation Form" (Indiana University Libraries). (THC)

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Performance Review

Kit 14

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PENNSYLVANIA STATE UNIVERSITY LIBRARIES

Management Guide to Performance Evaluation

The Pennsylvania State University Libraries has developed a performance evaluation procedure for all categories of personnel. Separate procedures and forms have been established for academic, staff, and clerical-technical service employees. Information concerning each of these separate evaluation processes are distributed to the concerned employees along with the forms. There are, however, several principles of evaluation which are useful for all levels of review. It is these more universal considerations which will be outlined below.

Evaluation is Necessary: Evaluation of human beings by other humans is as old as mankind itself. It is a natural phenomena in the sense that individuals are measured in terms of what they do and how well they do it in every facet of life. The major obejctive of the Pennsylvania State University Libraries evaluation process is to assist the employee to become a more successful member of the staff. As the supervisor's major responsibility is to plan and control events to meet the objectives of his work unit, he must know and develop the capabilities and potentials of each of his staff. To assist in the accomplishment of these objects, the supervisor is required to perform evaluations of his personnel periodically.

Standards of Performance: In considering evaluations, it must always be stressed it is the performance that is being evaluated. To rate another's performance there must be a "yardstick" or a standard of performance with which to compare. It is defined as "the conditions created when the job is accomplished correctly."

Performance standards must be reasonable; a well-trained, competent employee should achieve and consistently surpass the standards. A proper goal for achievement in performance should not represent average performance. In fact, merit increases and promotions are seldom offered to average employees. The above average or "extra effort" employee is the one most often rewarded for performance.

Some examples of standards are:

A. Quality/Quantity Standards - "Her typing is consistently accurate," or, "He shelves a truck of books in fifteen minutes."

B. Desired Effect Standard - "She follows up on assignments, and maintains control of the work flow to achieve high production."

C. Manner of Performance Standard - "He never complains," or, "He is always friendly and cooperative with patrons and with co-workers."

It is important to review with employees the standards of performance so that there is a common understanding of the expected performance. Although some tasks have more measurable results and standards than others, it is necessary to strive towards the establishment of suitable guidelines for evaluating performance through standard comparisons.

Common Evaluation Errors: Regardless of the evaluation system used, there are several common pitfalls to be avoided by the supervisor. Six common errors are described below as an advance warning for the careful evaluator.

1. The error of the "halo effect": Supervisors often evaluate the employee in terms of their personal mental attitude about the employee rather than by careful attention to the individual factors of work performance. He may be a "nice person", but still do poor work. (The opposite of the "halo effect" -- downgrading someone you dislike but whose work is good -- is also an error.)

2. The error of "prejudice and partiality": Not only is it an error of judgment but also a Constitutional violation to consider race, creed, color, religion, politics, nationality, and sex in evaluating work performance.

3. The error of "leniency, softness, or spinelessness": This is the most common error - taking the "easy way out." It occurs when supervisors can't face the unpleasantness that might arise from an unfavorable evaluation. "Spineless" ratings tag a supervisor as weak and, therefore, unfair to his really good employees. Effects of this error force ratings so drastically to the top of the scale that they are valueless. Such an error also creates an unrealistic feeling of success when improvement in performance is badly needed and often possible.

Many supervisors believe that their bosses think that low ratings reflect poor supervision; thus, standard or above ratings may become defenses for the supervisor. He may presume that some supervisors do not rate honestly, and that he must upgrade ratings to avoid penalizing his employees.

4. The error of the "central tendency": On a normal distribution curve, more people will be rated closer to the mean than to any other point on the scale. A rating which is near the norm becomes a central tendency

error if it does not reflect true performance. It is most likely to occur when a supervisor is careless about the rating or does not know the worker well.

A standard rating for unusually good or poor performance is unfair - to the employee, his fellow workers, and the Pennsylvania State University Libraries.

5. The error of "contrast": Is this rating a measure of the work that this employee has actually accomplished or is it a measure of what I think he has the potential to do?

6. The error of "association": In the process of rating, busy supervisors may rate an employee's performance as uniform in all ways rather than differentiating those qualities which are unusually good or bad. An overall rating may be required, but to be useful to the employee, special factors need to be considered and evaluated independently.

Completion of the Performance Evaluation Form: When you receive a performance evaluation form, the following steps are suggested to assist in your preparation for this task by:

1. Check to make sure all information included on the form is correct, i.e., name, date, position, etc., reporting any errors to the Personnel Section.

2. Refresh your memory concerning the objectives of performance evaluations by reading the accompanying memo and this statement.

3. Review briefly the processes and the form.

4. Review the employee's record. Analyze his performance, attendance, cooperation, compliments, complaints for the period of time specified.

After these initial steps have been completed, the writing of the review may commence. If any area needs improvement, suggest specific actions needed and, if possible, a date for review of this matter. If dismissal is a possibility, this must be clearly stated. Special skills or abilities of the employee not required or utilized in the specific position but of potential value to the University Libraries may be noted as well.

The Evaluation Interview: The evaluation interview is the most significant and often the most difficult part of the evaluation process. The following

suggestions are offered for your consideration.

1. Prepare for the interview:

   a. Arrange an interview with the employee. Set a definite time and place and tell him in advance. The hour selected should be early in the day and early in the week so that time is ample for both you and the employee. If specified in the process, give the employee his copy of the evaluation prior to the interview.

   b. Gather facts concerning the employee. A list of "critical incidents," both favorable and unfavorable, may be helpful.

   c. If the overall evaluation is marginal, think of the best approach in discussing the evaluation. It is usually wiser to take a "positive" approach on areas of good performance and gradually introduce unfavorable points which give you a chance to help him improve.

   d. Some employees will resent the evaluation; prepare for this by having all the facts and avoid surprises, if possible. Caution on choice of words is recommended - talk about the work, not the personality. Expression and tone of voice are also important.

2. Conducting the Interview:

   a. The evaluation interview must be held in private and in strictest confidence. Make arrangements for no interruptions and schedule sufficient time. The employee should be made to feel that the interview is confidential. The reason for the interview is to review his successes and how to improve in any areas that need improvement. Setting the stage for discussion of performance is very important. You can only set the employee at ease by being at ease yourself.

   b. Create the impression that you have time for the interview and that you consider it highly important.

   c. Throughout the interview, emphasize the employee's personal development and growth. Make him feel that the interview is a constructive and cooperative one. Avoid implications that the meeting is for only disciplinary purposes. Do not, however, obscure the need for improvement or the possibility of dismissal if such exists.

   d. Let the employee understand that your opinion or evaluation

may not be perfect. Let him know that you realize people are dynamic and ever-changing and your opinions are open to change--as his should also be! Ask him to tell you where he believes his performance needs improving and how you can help him.

e. Be open-minded about the opinions and facts presented by the employee. Be willing to learn about him. Be prepared to change your estimation in the light of additional or new evidence.

f. Do not dominate or cross examine. Avoid argument; listen attentively as well as politely.

g. Remember that the employee must do most of the talking at some points of the interview:

1. In bringing his opinions and feelings to the surface and to your attention.

2. In getting a better understanding of himself. In making plans for self-improvement.

h. Allow for "face saving." It may be necessary for you to state frankly that you yourself share the blame for some work failures.

i. Control the interview. Do not let it get out of hand. Pull the employee back from detours, escapes, or fruitless conversation.

j. Do not talk about <u>him</u> (or her); instead, talk about his work or his job.

<u>Processing and Use of the Forms</u>: After the evaluation interview is completed, the forms are to be signed by the participants and any reviews conducted according to instructions provided with the forms. The forms are then returned to the Personnel Office and become part of the employee's personnel record.

The evaluation forms are only available to the following people at the direction of the appropriate Personnel Officer.

1. The employee
2. The rater
3. The reviewing officer and the Director of Libraries

4. The Personnel Officer

Any of these persons may see the performance evaluation in the Personnel Office or request a copy of the form for their personal use outside of the Personnel Office. All involved personnel should regard such information as confidential and not discuss it with other members of the University community.

Information about an employee's performance, but not the form itself, is available under the following circumstances:

1. In cases of transfer or promotion within the University. A summary statement of the evaluation will be made available to the prospective supervisor.

2. Requests for recommendations from outside the University concerning current or past employees will also be answered with a summary statement.

February 15, 1972

THE PENNSYLVANIA STATE UNIVERSITY

INTER-OFFICE CORRESPONDENCE

Date:

From: Patricia M. Broderick, Personnel Librarian

To: All Librarians

Re: Librarian Performance Evaluation

Performance evaluation is considered to be an important factor in the development of effective communication between librarian and supervisor. The evaluation process can, when used effectively, provide an opportunity to arrive at a mutual understanding of the individual librarian's responsibilities in relation to the library's and the department's goals and plans. The use of a regular evaluation system also enables a librarian to know how well he is doing and what he can do to improve his service. If a librarian's work is of outstanding excellence and quality, he should be informed of this fact. On the other hand, if a librarian's performance is unsatisfactory, it is essential that he be aware that dismissal may follow. This information, plus suggestions for improvement, should allow the librarian an opportunity to correct the situation. Such information is often best presented through a regular evaluation process.

A carefully constructed performance evaluation form can be of great assistance as a written record of a librarian's competence. The form is an important part of a librarian's confidential personnel file and as such, it is utilized in considerations for administrative and academic promotions, salary increases, and tenure decisions.

In order for a performance evaluation process to accomplish all of these tasks, it must be as objective (as opposed to subjective) a system as possible. One method used to achieve objectivity is to concentrate on a "results" oriented system of evaluation. In this system, the librarian and the supervisor agree upon mutually established goals, means necessary to achieve them, and standards by which to measure the results. Such an approach avoids the subjectivity of evaluating personality, and abstract concepts and virtues such as judgment and loyalty.

Such a system, however, requires a great deal of time, thought, and planning in order to achieve the desired objectives. Both the librarian and supervisor must have a clear understanding of the purpose and methods of the evaluation system and be willing to fully implement them.

The Pennsylvania State University Libraries is going to initiate such a system of evaluation at this time on a trial basis. Attached to this memo is a list of instructions and the appropriate forms. As it will take at least two years to fully evaluate this new procedure, your cooperation and understanding are sought. Your comments on this approach, on this new form, and on the procedure would be most welcome and should be directed to Patricia M. Broderick, Personnel Librarian, E505E Pattee.

PMB/yef

Enclosure

Instructions for the Use of the

Pennsylvania State University Libraries

Librarian Performance Evaluation Form

The performance of all Pennsylvania State University Libraries librarians is to be evaluated on a periodic basis. At the completion of the first six months in a new assignment, a preliminary evaluation will be completed. Thereafter, the evaluation will take place annually on the anniversary of the librarian's appointment to his current position.

FORM:

The Librarian Performance Evaluation consists of three sections:

I. Personal Service Review: This section, completed by the librarian, provides a record of the librarian's activity of the past year. A separate sheet is included with this form for those librarians who wish to have their community service recorded as part of their confidential personnel file. This optional sheet is to be returned directly to the Personnel Librarian. The completed Personal Service Review is to be given by the librarian to his rater.

II. Future Plans: Upon the completion of the Personal Service Review, the librarian is to record in this section his plans for the coming year, including means to accomplish them and, where appropriate, ways to evaluate his success or failure in meeting them. This section should include regular work assignments and other special projects or services as outlined in the Personal Service Review. The librarian is to give this section to his rater together with the Personal Service Review. It is possible, however, that after discussion with the rater a revised statement may need to be prepared.

III. Librarianship Evaluation and Comments: This section is to be completed by the rater after receipt of the first two sections of the form. The rater is to base his considerations upon the information contained in the forms and his knowledge of the librarian's performance. When the rater has completed this section, he is to provide the librarian with a copy of the form at least a day in advance of scheduled discussion meeting. The librarian may, at his option, use the final sheet to comment on the evaluation after this discussion.

PROCEDURE:

The Personnel Librarian will send, at the appropriate time, the first two sections of the form to the librarian who is due for his periodic evaluation. The librarian should complete the forms and give them to his rater within two weeks from the date of receipt.

The Personnel Librarian will, at the same time, send the final section to the librarian's rater. The rater will then anticipate receipt of the first two sections from the librarian and will be ready to complete the evaluation within the next two weeks.

When both the librarian and the rater have completed the forms, each should have a copy of the entire form. At that time, a discussion is to be held to review the past year and to prepare for the next. After the discussion has been held, and any necessary adjustments or comments have been made, both the librarian and rater should sign the final sheet to indicate that they have completed the evaluation process.

The rater should then review the entire form and discussion with the reviewing officer. If the librarian wishes to be present when the rater reviews his evaluation with the reviewing officer, the librarian will be allowed to participate. Then the forms are to be returned to the Personnel Librarian. The entire process should be scheduled for completion within a month in order to insure continuous review for all librarians.

PENN STATE

Date_____

LIBRARIAN PERFORMANCE EVALUATION FORM

I. PERSONAL SERVICE REVIEW

Name_____ Academic Rank_____

Department_____ Rater_____

Date of appointment to current position_____

If supervisor has changed since this date, give date of change_____

A. Regular Responsibilities: Describe below your regular work assignments of the past year.

B. Service to the Pennsylvania State University Libraries: List any special projects or research undertaken to advance librarianship at Penn State. Include any papers or publications prepared for internal use such as manuals, reports, bibliographies; Pennsylvania State University Libraries committee service; etc.

C. Service to Pennsylvania State University: List service to the Pennsylvania State University other than in the library, including membership on University committees, courses taught, etc.

D. Professional Activities: List any memberships you hold in library or other professional organizations including offices or special services and conferences attended. Include publications in scholarly or popular press, speeches given, courses taught other than those listed in C.

E. Educational Activity: List any courses, seminars, or workshops which you have attended or special activities undertaken to improve your librarianship abilities and professional competence.

Date_____

LIBRARIAN PERFORMANCE EVALUATION FORM

II. FUTURE PLANS

Name_____ Academic Rank_____

Department_____ Rater_____

Upon the completion of the Personal Service Review and in view of your past year's activities, outline below goals for the coming year, including means to achieve them and, where appropriate, measures of success. Include comments on regular assignments and other special projects as listed in the Personal Service Review.

Date_____

LIBRARIAN PERFORMANCE EVALUATION FORM

III. LIBRARIANSHIP EVALUATION

Name_____ Academic Rank_____

Department_____ Rater_____

1. Library Responsibilities: The ability to work with and interpret bibliographic resources whether by direct service to library users or through programs of acquisitions and cataloging. The ability to interpret and implement the policies and goals of the library, to organize work, to maintain sound academic and library practices, and to participate in academic planning. The ability to interest students and library users in learning to utilize library facilities and services to the fullest extent and to lead them in conducting research and interpreting available data.

To be considered in this area are technical competence on the job, personal relations with staff, supervisory and budgeting ability, relationships with faculty and students, and communicative ability.

2. Special Contributions: Contributions made which bring the existing body of knowledge in the librarian's field of specialty to bear for the improvement of service to the library user, whether by improved bibliographical access and organization, by improved methods, systems, and service patterns, by seminars, training sessions, etc. Evaluate individual contributions to the library such as thoughtful recommendations, internal reports, proposals, successful innovations, etc.

3. Scholarship and Professional Growth: Evidence of continuing scholarly growth through courses or seminars attended, written works both published and unpublished, and participation in professional and scholarly associations and extra-library committees, etc.

Date_____

LIBRARIAN PERFORMANCE EVALUATION FORM

COMMENTS ON THE EVALUATION

The librarian may use this space to comment on his evaluation. Such comments are optional.

I have seen and discussed this entire Librarian Performance Evaluation Form including the Personal Service Review, the Future Plans, and Librarianship Evaluation and Comments.

_____

Signature of Librarian (Date)

_____

Signature of Rater (Date)

_____

Signature of Reviewing Officer (Date)

Date_____

COMMUNITY SERVICE

Name_____ Academic Rank_____

Department_____ Rater_____

This sheet is provided for those librarians who wish to have their community service or activities entered into their personnel files. The recording of such information is completely optional, and the lack of such a record will not be held against an individual. If a librarian does enter this information, it will be treated as confidential information as any part of his personnel file. Such information would be released with the librarian's approval for employment references.

TO BE RETURNED DIRECTLY TO PERSONNEL LIBRARIAN
PSU

III C

Instructions For The Use Of

Pennsylvania State University Libraries

Clerical-Technical Service Evaluation Form

The performance of all clerical and technical service employees of the Pennsylvania State University Libraries is to be evaluated on a periodic basis at the time of scheduled individual salary increases.

Performance evaluation should provide an opportunity to develop effective communication between employee and supervisor. The use of a regular evaluation system also enables an employee to know how well he is doing and what he can do to improve his service. The information that he is doing outstanding work or that performance is unsatisfactory, plus suggestions for improvement, are often best presented through a regular evaluation process.

FORM

The Clerical-Technical Service Evaluation Form consists of the following sections:

I. Performance Evaluation: All clerical-technical service employees will be evaluated on the first seven criteria. Those who supervise as a regular part of their duties will be evaluated on the eighth criterion also. This section also includes a summary statement.

II. Comments on the Evaluation: An optional page provided for an employee who may wish to respond to the evaluation given by the supervisor.

III. Employee Activities: An optional page for an employee who may wish to have activities (as defined) included in their permanent record.

PROCEDURE

1. The Personnel Section will send the evaluation form to the supervisor at the appropriate time.

2. At least one working day in advance of a scheduled meeting to review the evaluation with the employee, the supervisor should notify the employee that there is to be an evaluation and give the employee Section III of the form. At this time the supervisor should show the employee a blank evaluation form so that the employee may review the criteria for evaluation.

3. The supervisor should complete the evaluation prior to the scheduled meeting.

4. At the scheduled meeting the supervisor should review and discuss the evaluation with the employee. If the employee does not wish to comment, both the supervisor and the employee should sign the evaluation.

5. If an employee wishes to comment on the evaluation, he need not sign the form at the scheduled meeting. The employee should be given Section II of the form. He may have an additional working day to consider the evaluation and his comments.

6. A subsequent meeting between supervisor and employee may be held to review the evaluation and allow the employee to write comments.

7. After the third meeting has been held and comments by the employee have been made, both the supervisor and the employee should sign the evaluation to indicate they have completed the evaluation process.

8. The forms should be returned to the Personnel Section by the date indicated on the form.

Pennsylvania State University Libraries
Clerical-Technical Service
Evaluation Form

Please return by:_____

_____ is eligible for a salary increase from _____ per month to _____ per month effective _____. This represents an increase of _____ per year, and places the employee at the _____ rate.

Do you approve the increase? _____Yes _____No

If the answer is no, please indicate the reasons in the summary statement of the evaluation form.

I. Performance Evaluation

1. Quality of work: Consider effective application of knowledge and skills in meeting established standards.

2. Quantity of work: Consider speed and volume of work.

3. Dependability: Consider punctuality, attendance, application to the job, reliability, good housekeeping, responsibility for care and use of equipment, materials and supplies.

4. Cooperation: Consider adaptability, stability, attitude toward work, and associates, and willingness to work with and for others (including patrons).

5. Responsibility: Consider acceptance and fulfillment of obligations of position and capacity for independent action.

6. Judgment: Consider ability to arrive at sound conclusions and make intelligent decisions.

7. **Job Knowledge:** Consider the knowledge of work gained through education, training, performance, ability to learn and versatility.

8. **Supervisory Ability:** Consider ability to stimulate subordinates to perform their jobs effectively.

Summary statement or suggestions for future improvements.

Would you recommend this employee (if now eligible) for promotion if an appropriate vacancy for which he was qualified occured?
Yes_____; No_____; Not at this time_____

Employee's signature indicates that the rating was reviewed with him (or her); it does not mean that he (or she) agrees with the rating.

_____
Employee (Date)

_____
Supervisor (Date)

II. Employee Comments (Optional)

_____
Employee (Date)

_____
Supervisor (Date)

EMPLOYEE ACTIVITIES

Date_____

Name_____ Position_____

Department_____ Supervisor_____

III. Employee Activities: This section is optional and an employee need not feel any obligation to complete it. Describe any activities outside your major responsibilities you have engaged in that are relevant to your service to the University Libraries. Such activities might be courses or workshops taken, degrees or certificates received, memberships in organizations, committee work, or special services performed for the University or University Libraries. Only activities that you wish to have included in your personnel file should be listed.

UNIVERSITY OF PENNSYLVANIA LIBRARIES
Staff Evaluation

Review for:

Department Working Unit

#Purpose of Review:

	Satisfactory	Unsatisfactory
A. Quality (e.g., Technical ability, competence, accuracy, initiative, responsibility, dependability, attendance, punctuality).	_____	_____
B. Quantity of Acceptable Work	_____	_____
C. Demonstrated Ability to work with others in performing one's job routines and to follow work instructions.	_____	_____
D. Over-all Rating: an overall unsatisfactory rating shall result from an unsatisfactory in any two of the above three categories. The possibility that the job performance covered by one of these categories might be so unsatisfactory as to affect severely the performance in one or both of the other two categories is recognized; in such cases, more than one unsatisfactory would be appropriate.	_____	_____
E. Remarks: justification of unsatisfactory rating in any of the above categories.	_____	_____

Date discussed with employee: Reviewer's signature_____

Position_____

#6 month probationary period for new employees.
1 month probationary period for promotions.
Probationary period for unsatisfactory performance.
Yearly Review.
Other.

[redacted] L. Wurk

PERFORMANCE REVIEW

PERFORMANCE EVALUATION GUIDELINES

The following criteria and the questions based on them are intended to stimulate thought, elicit remarks, and provide fairly objective discussion about a librarian's job performance. The assessments will be made and shared in an interview by the two people who should know the most about the person's work, the librarian himself and his supervisor. Each should consider the values suggested under each grouping. They are intended as guidelines for evaluation of particular aspects of job performance. Not every statement need be discussed during the interview or answered in the Performance Evaluation Report. Whenever possible these values should be described as they have been demonstrated in particular situations.

The step-by-step procedure to be followed is:

Step I

At least five working days before the evaluation interview:

1. The supervisor schedules the date, time and place of the interview. It is important that the place and time provide for an uninterrupted, unrushed meeting.

2. The supervisor gives the librarian copies of the Guidelines and a Performance Evaluation Report form and keeps copies for his use. Copies will be available from the receptionist in the Administrative Offices.

Step II

Preparation for the discussion:

In reviewing the guidelines prior to the interview, the librarian being supervised is urged to consider carefully the questions directed to him as well as those asked of the supervisor wherever they seem appropriate. If he wishes, he may frame his responses into a self-evaluation and share them with his supervisor before the interview. The supervisor may do likewise as regards his evaluation of the librarian. At the interview, they should discuss the librarian's performance as suggested by the questions and qualities within each part of the evaluation guidelines.

Step III

The interview.

Step IV

Within several working days after the interview:

1. The supervisor will complete the Evaluation Report for the librarian based on the interview and on his observation of the librarian's performance and will provide the librarian with a copy and will discuss it with him.

2. The librarian will acknowledge receipt of the evaluation report by signing the supervisor's copy and returning it to him. At this time the librarian at his option completes his own Performance Evaluation Report which may contain a self-evaluation and/or comments on the supervisor's report.

3. The supervisor forwards the completed evaluation and the librarian's comments to his supervisor.

4. They are then referred through the supervisory chain as specified in G.O. No. 24, 5h.

GUIDELINES

I. UNDERSTANDING OF JOB AND LIBRARY PROGRAM

Supervisor - Assess the librarian's understanding of his job and its relationship to the total library program. Consider:

Organization - Ability to plan and organize work and establish goals and make reasonable progress toward them.

Integration - Ability to understand and accept the total service concept and work with other units toward a system-wide objective.

What capacity for administrative responsibility does the librarian exhibit? - Ability to organize and co-ordinate work of others through effective distribution of work load, responsibilities and authority.

Mention specific aspects of the job wherever possible.

Librarian - Are all duties and responsibilities clear?

Do my supervisor and I have a common understanding of what I am supposed to do and how well I am supposed to do it?

Should I be emphasizing some duties more and others less? Are there projects to initiate or expand?

II. QUALITY AND QUANTITY OF WORK

Supervisor - Strike a balance between "how good" and "how much" and compare it to the standards for the job. Consider:

Basic knowledge - principles, techniques, theoretical and practical "know-how" demanded by the position.

Thoroughness and general quality of work.

Analytical ability and judgment - Ability to obtain and identify facts, evaluate and correlate them and apply sound judgment to arrive at conclusions and solutions to problems.

Consistency of performance, conscientiousness.

Librarian - How well am I doing my job? What, specifically, do I do best? What, specifically, do I not do so well? How can an improvement be made?

Is there anything about my present job that I do not like? Can anything be done to change this?

What training do I need to do my present job better?

III. PERSONAL RELATIONSHIPS

Supervisor - Assess the librarian's ability to work effectively with people to accomplish library objectives. Consider:

Co-operation - Diplomacy, poise, ability to gain confidence and respect of colleagues.

Stability - Capacity for maintaining an even temperament, mature behavior, control emotions.

Do deficiencies in these areas affect his job performance?

(If applicable) Leadership - Ability to select, place and develop subordinates and inspire them to effective effort.

Librarian - Are there pressures in connection with my present job that could be relieved?

Are personal considerations creating pressure? Could some reorganization of my time relieve this pressure?

IV. ATTITUDE AND INITIATIVE

Supervisor - Consider job attitude, willingness to work, to assume responsibility, and preparation for advancement. Consider:

Responsibility - Self determination on the job. Capacity

for assuming responsibility assigned and ability to act independently without specific instructions.

Imagination - Ability to devise new plans, procedures and methods; to solve new problems; to think creatively.

Professional attitude - Overt expression of attitude toward job, supervisors, library, and the professions.

Librarian - Do I have confidence in my ability to act independently?

Have I advanced new plans or methods to better the functioning of the unit? If so, have I been satisfied with their reception?

Am I flexible in reassessing my responsibilities in the light of conflicting demands? Do I solicit the opinions of others in this?

How might the job be restructured to enhance my attitude toward its mission?

V. DEVELOPMENT POTENTIAL

Supervisor - What capacity does the librarian exhibit to assume greater responsibility in the job or in the unit? To perform the duties of a high-level job?

Librarian - What are my long-term goals and objectives? My specific short-term goals?

What, specifically, could I do in my present job, or in my present classification, that should help me obtain these goals?

What job assignments that might be available would help me be more useful to the library?

What outside study or education do I need to prepare myself for a more challenging assignment?

UNIVERSITY OF WASHINGTON LIBRARIES

PERFORMANCE EVALUATION REPORT

_____

Date

_____	_____
Name of Librarian	Name of Supervisor
_____	_____
Position or Title and Rank	Position or Title
_____	_____
Length of Service in Rank (Months)	Department
_____	_____
Length of Service in System	
_____	_____
Length of Service in Present Assignment	Signature of Person Submitting Report

Use ovall sheets for the Report and return with this cover sheet

1/21/72

VII · 15

WAYNE STATE UNIVERSITY
LIBRARIES

STAFF MEMO NO. 46

SUBJECT: Evaluation Program for Librarians

FROM: Robert T. Grazier

PERFORMANCE REVIEW

Evaluating a librarian's performance is a difficult and trying assignment, and one which, I submit, the University Libraries has performed in a somewhat haphazard and erratic fashion. I would reject the charge that staff assessment has been capricious or arbitrary, but would readily admit to its being unsystematic, sporadic, and certainly falling short as a means to improving staff performance. Our somewhat informal ways and means are becoming less adequate as the staff has grown in size and the Library has become a more complex organization.

The evaluative process and the evaluative instrument and procedures as outlined below are but first steps in attaining the stated objectives of the evaluation. It is hoped that ongoing investigation and discussion by all the staff will increase the effectiveness of both technique and process. There is a Committee on Librarian Evaluation of the Librarian's Assembly now studying this problem. All documents submitted to the department heads have been transmitted to this Committee. Refinement of the evaluative instrument, concept of peer evaluation, and ways and means of improving supervisory evaluation must be explored. In the meantime circumstances dictate that we should begin systematic evaluation with the means and instruments that we have at our disposal.

Objectives of Evaluation.

The objectives of staff evaluation are of equal and similar concern both to librarians and to the Library administration. Evaluation should provide:

1. A channel through which the Library administration and the librarian can establish mutual interest and concern with the librarian's professional development and growth. The librarian has a right to know "where he stands", as some librarians have phrased it. The department head has responsibility for correcting deficiencies and encouraging strength that will further the professional development of the librarian. To this end the evaluation should be a constructive means for both professional growth and institutional effectiveness.

2. A yardstick with which to allocate rewards equitably among the staff. Promotions, merit increases, and tenure comprise primarily the reward system of academic librarians.

Procedure

On or about June 1, the department head will review and evaluate the performance of each librarian on his or her staff. The evaluations should

conclude with an assessment as to the probabilities of the fitness of the encumbent for retention, promotion, or tenure. New appointees will be evaluated from date of appointment. Senior, tenured librarians (III, IV's) will be evaluated biennially; all other librarians will be evaluated annually.

An evaluation may be made at any time at the option of the department head or upon the request of the librarian or the Library administration. Recommendations for promotion, selective increases, or tenure must be accompanied by an evaluation.

A copy of the evaluation will be given to the librarian. The evaluation will be reviewed by the Office of the Director with the librarian.

WAYNE STATE UNIVERSITY

LIBRARY STAFF MEMO NO. 77

Subject: Librarian interviews

From: V. M. Pings

Date: January 15, 1973

Working Paper No. 6, "Library Staff Development and Library Organization" proposed that four "methods" be built into the Library System's personnel procedures to enable each librarian to realize his potential within the confines of the Library System's and the University's organization. Two of these four methods are in the process of implementation: (i) a method for evaluating performance and accomplishments through self-reporting and "supervisor" ratings and (ii) a method for peer evaluation. The purpose of this memo is to describe the procedure in which we shall try to implement another step, that is, a way for each librarian to plan a career development program consistent with library objectives and policies. The task is a complex one in that we must have an understanding of our institutional objectives which can be related to individual competences and aspirations. Objectives can be stated in general terms, but individuals may not have an opportunity to judge how to make their aspirations known. With this constraint in mind time will be set aside for each librarian to have an interview within the next three months with Robert Grazier, Howard Sullivan, or Vern Pings. The interview will be a learning experience for both the interviewer and interviewee, and is not meant to result in decisions; rather the result should be a plan for personal development for each individual with some "indicators" defined to judge progress in achieving professional goals.

The interviews will be conducted under the following ground rules and procedures:

1. So that all librarians will have the opportunity to engage in this planning process, the assignment of who is interviewed by whom has been arrived at arbitrarily, and with no specific plan in mind. Certainly if it should be decided that this is an appropriate personnel practice for the Library System to adopt, the interview assignment will be changed each year.

2. Each librarian will receive a memo inviting him or her to make an appointment. Again the order in which the memos are distributed will have to be done arbitrarily because of time.

3. The participation in this program is voluntary.

4. A summary account of the interview will be provided each individual for emendations, comments, and review which then can be added to the individual's other evaluative documents.

WAYNE STATE UNIVERSITY LIBRARIES

SUBJECT:

FROM:

TO:

DATE: Jan. 15, 1973

As announced in Staff Memo No. 77, time is being allocated for each librarian to discuss his or her professional development and career goals. The objective is to provide a basis for defining your own aspirations in relation to the Library System's objectives. The interview is not meant to be structured or formal; however, it might help if you gave some advance thought to matters suggested by the questions listed below. Certainly other topics may be discussed; these questions may even suggest some to you.

Would you please arrange for a half-hour appointment with me by

1. Are the purposes and functions of the Library System and/or your unit sufficiently defined to permit you to make judgments about the development of library service and about how you may make your contribution?

2. Are your professional interests and capacities adequately fulfilled by your current assignment? If not, what changes might be possible to increase your job satisfaction?

3. Do you feel you have an understanding of what is expected of you in terms of results or performance in your working situation? In your judgment do you have the necessary skills and knowledge to do what is needed, or the reverse, that your skills and knowledge are underutilized? If any of these conditions prevail, do you have any ideas as to corrective measures?

4. Do you have the opportunity to discuss the situations in which you face difficulties in accomplishing what you see as being required of you? Is the general environment one in which you can expect honest and sincere answers with respect to your personal and professional development?

5. Have you received the support you need to contribute to the success of the Library System's programs? Are you encouraged to express your ideas and are they listened to? Do you have the opportunity to implement your ideas and suggestions?

6. Have those who make judgments on your performance and accomplishments made an effort to recognize you as an individual? Have you received recognition for your accomplishments?

7. Do you feel you are being kept informed of what is going on in your unit and the Library System (not just those things you need to know, but also things you would like to know ? If not, do you have any suggestions as to how to close this information gap?

8. Do you feel you have adequate freedom to do your job as you see it or is there too much control of your activity?

9. Do you feel you have sufficient opportunity and encouragement to pursue professional research or activity that may not be directly job related?

10. Do you believe it feasible to draw up a brief statement of what you would like to accomplish during the next few years. Such a statement would include the resources and facilities needed, actions on your part, as well as "indicators" as to what progress you were making towards achieving your professional goals.

F. Indicate any research in progress and/or publications in press.

G. Indicate any other research and creative activities, e.g. planning and/or innovation of major processing units, new services, etc.

IV. PROFESSIONAL SERVICE

A. COMMITTEE SERVICE

1. Indicate service on committees within your library (Include library, ad hoc, staff associations, and InULA, etc.) Indicate name of committee, nature of participation, and duration.

2. Indicate service on campus or all-university committees (outside of the library). Indicate name of committee, nature of participation, and duration.

B. List offices held in professional organizations. Indicate local, state, or national offices. Indicate office(s) and date(s).

C. List service on doctoral, master's, or honors thesis committees. Indicate name of student, school or department, and date.

D. Consultant work

1. Indicate consultant work outside your regular responsibilities, within your library, and/or within your campus or the university.

2. Indicate consultant work outside the campus or the university not considered part of your regular responsibilities.

E. Indicate any other services to your library, campus, or university not covered above.

F. TEACHING--RELATED TO LIBRARIANSHIP

1. Indicate frequency of individual instruction of students, employees, librarians, and faculty.

2. Indicate participation in tours of library or campus facilities. Give group(s) and date(s) if possible.

3. List special lectures to student or faculty groups. Give group, subject, and date.

B. List memberships in professional, scholarly, learned, or honorary societies, e.g. ALA, American Association of University Professors, American Historical Association, Modern Language Association, Beta Phi Mu, Phi Beta Kappa, etc.

C. List fellowships, awards, and special honors received. Indicate nature, grantor, and date.

D. Indicate the development of any other professionally related skills, e.g. computer programming, book binding, counseling.

E. Grants

1. List research, travel, or other grants received. Indicate nature, grantor, and date. Be sure to include grant proposals written by you but which have been submitted under someone else's name.

2. List grant proposals which you have submitted but which have been rejected or not yet funded. Specify which category. Be sure to include proposals written by you but which have been submitted under someone else's name.

F. Indicate any other activities indicative of professional growth and development.

III. RESEARCH AND CREATIVE ACTIVITY

A. List research and/or special projects undertaken and completed, e.g. departmental manuals, handbooks, special research projects not resulting in formal publication.

B. Indicate the creation of any special catalogs, ready-reference files, indexes, etc.

C. List lectures and papers presented to professional groups. Give group, date, and subject. Under this heading DO NOT INCLUDE lectures to students or faculty in the university.

D. Publications

1. Books. Give citation.
2. Articles. Give citation and provide copies where possible.
3. Bibliographies. Give citation and provide copies where possible.
4. Book reviews. Give citation and provide copies where possible.
5. Performances, productions, and exhibitions. Include nature and date.
6. Other.

E. List editorships and memberships on editorial boards of journals, [illegible], etc.

INDIANA UNIVERSITY LIBRARIES

AD HOC COMMITTEE ON PROFESSIONAL CRITERIA

FINAL REPORT

March 20, 1973

OUTLINE

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IX. Appendix A: "Personnel Evaluation Form"

X. Appendix B: "Profile of Professional Activity"

Submitted By:

David Fenske, Bloomington
Betty Jo Irvine, Bloomington, Ex Officio
(Librarians Advisory Committee)
Mary Jane Lasta, Indianapolis
Thomas Michalak, Bloomington, Chairman
Roger Miller, Fort Wayne
Odette Shepherd, Bloomington
Karen Weddle, Bloomington

4. Indicate participation in the preparation of instructional media on using the library or informational material about collections and/or services.

5. Indicate any supervision of library science student's practice work.

6. List formal courses taught. Indicate course title, institution, description, frequency, and number of students.

G. COMMUNITY SERVICE

1. Indicate offices held and/or extent of participation in committees, organizations, and clubs in your community, e.g. PTA, United Fund, Rotary, University Club, AAUW, church, political parties, etc.

2. List speeches, discussions, etc., before community groups. Give group, nature, and date.

3. List any public offices held.

4. Other.

V. Indicate any other contributions which you have made to your library, your campus, the university, and your community (local, state, or national) not covered above.

I. INTRODUCTION

The Ad Hoc Committee on Professional Criteria was established on November 25, 1972, in response to a directive from W. Carl Jackson, Dean of University Libraries. The Ad Hoc Committee was elected by the Librarians' Advisory Committee in consultation with William Studer, Director of Regional Campus Libraries, and Dr. Jane Flener, former Personnel Director and Assistant Director. The Committee's first meeting was held on December 11, 1972. Except for the Christmas holidays, the entire Committee has met weekly with numerous subcommittee meetings.

The Committee was charged with the development of criteria for promotion and tenure for immediate implementation (July 1, 1973) of library faculty status as approved by the Board of Trustees on February 25, April 21, and June 30, 1972. In interpreting its charge, the Committee felt it necessary to make recommendations regarding the promotions process and the University Librarians Promotions and Tenure Committee. In addition, Dean Jackson charged the Committee with the development of mechanisms for the input of information on the professional performance and activity of librarians. Subsequent to this report, the Committee prepared the "Profile of Professional Activity" and the "Personnel Evaluation Form." The "Profile of Professional Activity" was adapted from a form proposed by the Indiana University Librarians' Association. Both of these documents have subsequently been approved by Dean Jackson. A copy of the "Personnel Evaluation Form" is appended.

In view of its limited charge and the need for further library faculty input, the Ad Hoc Committee has not attempted to make recommendations on the structure of promotions and tenure committees in each division beyond recommending that the establishment of such committees is a decision for individual library faculties (Regional Campuses, IUPUI, and Bloomington). The process of annual review or other reviews following initial implementation, grievance and appeal procedures, and other questions will need to be decided in the months and years to come.

In preparing the initial document, the Committee was guided by the principle that procedures and criteria for initial implementation should be devised which fit the needs of the librarians and the University Libraries. Procedures regarding promotion and tenure which are followed by schools, departments, or divisions in the various campus teaching faculties served only as guidelines for the Committee. The Committee felt that librarians would best be served by devising criteria and procedures which meet their needs and which may very well differ from the criteria and procedures in the teaching faculties.

The Committee has also been guided by the need for equity and justice in implementing library faculty status. The are, however, many different facets to be considered: the individual librarians, both those who opt for the library faculty status system and those who choose not to do so; the library as an institution and its goals of service to our communities; and the individual campuses and the university's needs and goals. The Committee has sought to balance these needs and to recommend equitable criteria and procedures which both encourage and protect the individual and the institution(s) as well.

DIFFERENCES BETWEEN LIBRARY FACULTY STATUS AND ACADEMIC STATUS

Item	Library Faculty Status After July 1,1973(new)	Academic Status After July 1,1973(old)
Established Tenure Procedures	Yes	No (Limited Job Security)[1]
Eligibility to vote for faculty council(s)	Yes[2]	No
Eligibility to make nominations for members of the faculty council(s)	Yes[2]	No
Eligibility to serve on Faculty Council and its Committees	Yes[2]	No
Waiting period for TIAA/CREF[3]	Maximum of 1 Year	Three years
Sabbatical Leaves	Yes	No
Promotions in Rank	Yes	No
Performance Evalnations	Yes	Yes
Salary Raises based on merit	Yes	Yes
Professional Work Week	Yes	No
Compensatory Time for Courses	Not Required	Required
Teaching Faculty Grants-in-Aid	Yes	?
Travel Funds[4]	Yes	Yes

ITEMS WHICH REQUIRE FURTHER LIBRARY FACULTY OR ADMINISTRATIVE DECISIONS

Item	Library Faculty Status	Academic Status
Minimum salary levels corresponding to ranks or other salary incentives tied to promotions	Yes	No
Participation in library faculty governance	Yes	No
Ability to serve on library faculty committees, etc.	Yes	No
Sick Leave[5]	Yes	Yes
All other benefits which may be granted to teaching faculty in the future	Yes	No

II. THE PHILOSOPHY OF LIBRARY FACULTY STATUS AND ITS ADVANTAGES

Library faculty status reflects a local and national movement for the professional recognition of librarians and the need to establish and maintain professional standards of performance. The Library faculty status system recommended by the Committee on the Career Status of Library Personnel and subsequently approved by the Board of Trustees recognizes the importance of the role of librarians in the educational and research processes of higher education and the need to provide a system of privileges, obligations, and incentives both to reward and to motivate librarians. This recognition implies the necessity for the profession to maintain high standards of excellence and performance. The Library faculty status system is an attempt to create flexible conditions in which the University Libraries and librarians can play an increasingly important role in the academic life of the campus, and in which the libraries can hire, retain, and motivate the finest academic librarians available.

The Library faculty status system, in contrast to a system in which librarians are granted teaching faculty ranks, gives librarians considerable flexibility in shaping their system to meet their specific needs. In developing its recommendations, the Ad Hoc Committee did not feel constrained to adopt the model of the teaching faculty since we were not bound by any prior procedures, rules, or traditions of the faculties. For the future this flexibility will permit the interpretation or adaptation of teaching faculty fringe benefits to the specific and differing needs of libraries and librarians. For the present this philosophy has resulted in the recommendations of this document.

While the Library faculty status system grants additional privileges to academic librarians, it also places greater obligations on them. As members of the Library faculty, librarians are expected to maintain high standards of performance, to develop and grow in their professional competencies, and to participate in the development of library services and in the determination of the needs and goals of their respective libraries. Each librarian is expected to share his/her professional experience and expertise (both locally and systemwide), and to participate in library and campus governance.

The following table attempts to outline the major benefits and incentives of the Library faculty status system in contrast to the previous system. The most noteworthy improvements over the previous system are the establishment of professional ranks with promotion based on professional performance and activity; established tenure procedures to fully protect the academic freedom of the librarian and the library; provisions for sabbatical leaves to pursue research or other creative activity; opportunities for participation in campus and university governing councils; and the opportunity for each librarian to have his/her performance fairly and equitably evaluated.

In the future, librarians in the Library faculty status system will automatically be granted any additional fringe benefits which are granted to teaching faculty. Additional benefits and incentives may also be established for librarians in the Library faculty status system, e.g. the establishment of minimum salary levels corresponding to ranks or other salary incentives granted with promotions.

The Ad Hoc Committee has reiterated the philosophy of library faculty status and its distinct benefits in order to encourage all librarians to consider the advantages of opting for library faculty status.

III. THE LIBRARY FACULTY RANKS

AFFILIATE LIBRARIAN

Definition and Criteria: The beginning rank for librarians who have completed the master's degree from an accredited library school, or its equivalent, or, a graduate degree in other professional or scholarly fields where appropriate, but who have not had previous library experience.

This rank shall not normally be held longer than two years without promotion in rank.

Tenure: Not a tenurable rank, although time spent in this rank shall accumulate towards tenure.

ASSISTANT LIBRARIAN

Definition and Criteria: The rank appropriate for librarians who have completed the master's degree from an accredited library school, or its equivalent, or, a graduate degree in other professional or scholarly fields where appropriate, and who have had previous library experience at a professional level, and/or who have shown evidence of being able to meet the criteria for promotion.

Tenure: Time spent in this rank shall accumulate toward tenure. After initial implementation of library faculty status(1973), librarians may be tenured in this rank only in exceptional cases.

ASSOCIATE LIBRARIAN

Definition and Criteria: The rank appropriate for librarians whose professional performance has been consistently above average; who have made a contribution to their profession through research or creative activity; and who have rendered consistent service to the library, campus, university, or community. Promotion to this rank may occur before tenure is granted.

Tenure: Normally granted with this rank. Promotions to this rank may be made before the 6th year without granting tenure.

LIBRARIAN

Definition and Criteria: The rank appropriate for librarians whose professional performance and service has been consistently outstanding; who have established, state, regional or national leadership in library or scholarly organizations; and whose prominence in their field of service or specialization reflect their superior achievements.

Tenure: Normally accompanies this rank.

[1]Statement contained in Indiana University Libraries, Information for New Professional Employees, July, 1971, reads: "Your appointment is for the balance of the fiscal year (ending June 30) and unless you are otherwise notified in writing by March 1, you may expect continuing employment for the next fiscal year. Any exceptions to this provision are given to the employee at the time of his or her original appointment. If, thereafter, budgetary or other reorganization should require discontinuance of your services, you will be advised 12 months in advance. In the normal course of events, however, you may expect annual reappointments until your retirement at the age of 70. The right of summary dismissal for misconduct is reserved." (Emphasis added)

[2]In process of approval by respective campus and university faculty councils.

[3]The Board of Trustees at its meeting of 21 April in Jeffersonville acted upon a recommendation of the University Fringe Benefits Committee which would affect librarians. The Board agreed that the present three-year waiting period required of all new professional librarians prior to participation in TIAA/CREF be altered. In its stead, we would provide immediate participation for the ranks of librarian and associate librarian and a one-year waiting period for the ranks of assistant librarian and affiliate librarian. The one-year waiting period would be waived for those librarians who had passed the age of 40 at the time of appointment (as well as for librarians who are already on a TIAA/CREF program)."
(Memo of 25 April 1972 from J. Gus Liebenow, Vice-President and Dean for Academic Affairs to all Indiana University Librarians.)

[4]Librarians in the faculty status system will have unlimited access to travel funds subject to the approval of a library faculty travel committee. The present policy of funds for one trip per year ($50 for the Midwest, $100 for either coast) will remain in effect for librarians who do not opt for the library faculty status system.

[5]The current sick leave benefit for librarians is as follows: "Sick leave credit may be granted on the basis of one working day of sick leave accumulated for each calendar month of employment. Unused sick leave is accumulated without limit...Only sick leave credit covering the first 60 days will be at full pay."
(Indiana University Libraries, Information for New Professional Employees, July, 1971, p.4)

The sick leave benefit for teaching faculty is as follows: "In case of illness of any member of the faculty, he shall be paid six weeks' full salary during his illness and 50 per cent for the balance of the semester in case the illness continues that long."
(Indiana University, Faculty Handbook, p.41)

The sick leave benefit for faculty as stated above and in practice is more generous than the current sick leave benefit for librarians. Sick leave benefit for librarians in the faculty status system will need to be brought in line with the teaching faculty's sick leave benefit. Librarians not in the faculty status system will remain under the existing policy.

Under the present policy, personal leave for immediate family emergencies is deducted from vacation or sick leave. A new personal leave policy will be established for librarians in the faculty status system which does not penalize vacation time or sick leave.

IV. CRITERIA FOR PROMOTION AND TENURE

A. Excellence of Performance

Representative of an effective librarian are professional and intellectual competence, creativity and initiative in the performance of professional responsibilities, effectiveness in applying subject knowledge and bibliographic techniques in organizing library collections, professional skill in pursuing user needs and in stimulating faculty and student utilization of library services and resources through individual or formal instruction, and a willingness to consider and to accept new ideas and alternative approaches to library services.

Representative Measures

1. Effective accomplishment of professional responsibilities.
2. Demonstration of creativity and initiative.
3. Ability to work independently.
4. Ability to identify library problems and to promote their solutions.
5. Willingness to consider and to accept ideas and alternative approaches to services and procedures.
6. Understanding of the various operations and services of the library and an ability to interpret and integrate them.
7. Cooperation with members of the library staff, faculty, and students in furthering the objectives and priorities of departments, the library, and the university.
8. Willingness to accept responsibility and/or leadership when needed within the department, library, and university.
9. Ability to apply constructive criticism and suggestions.
10. Ability to perform in a dependable and reliable manner.
11. Approachability, communicativeness, and receptiveness.
12. Willingness and ability to pursue patron problems to satisfactory solutions.
13. Familiarity with the teaching and research programs of the campus and with the research processes appropriate to the various disciplines and an ability to translate this knowledge into effective service.

PART-TIME AND SPECIAL APPOINTMENTS

Part-time and special appointments may be made in any of the ranks as appropriate to the individual's experience and qualifications. These appointments shall be considered adjunct appointments and this designation shall be indicated in their rank, e.g. Assistant Librarian (Adjunct).

Part-time and special appointments (adjunct) shall not be considered on the tenure track.

Category A. General, Representative Measures

1. Course work beyond last received degree.

2. Development of any professionally related skills, e.g. computer programming, statistics, book binding, management techniques, etc.

3. Effective use of sabbaticals and leaves of absence.

4. Attendance at professional or scholarly meetings, conventions, conferences, workshops, institutes, etc.

5. Membership in and/or active participation in professional, scholarly, or honorary societies, e.g. IntLA, ALA, American Association of University Professors, American Historical Association, Modern Language Association, Beta Phi Mu, Phi Beta Kappa, etc.

6. In-depth visits to or analyses of other libraries for the purpose of gaining insights into technical procedures, services or buildings.

7. Receipt of fellowships, grants, awards, and special honors.

Category B. Research and Creativity, Representative Measures

1. Planning and initiation of library operations and services, e.g. participation in the preparation of instructional media on using the library and its resources or informational material about collections, services, and procedures; an evaluative study of the antiquarian book trade; a study of the use of the subject catalog; a study of the processing of library materials, etc.

2. Bibliographical research, e.g. the identification and evaluation of a literature for collection development; bibliographies of reference tools in specific areas, etc.

3. Codification of internal professional practices, e.g. interdepartmental or departmental procedures, manuals, flowcharting of operations, etc.

4. Preparation of scholarly exhibits.

5. Development of subject indexes and classification schemes.

6. Presentation of papers or lectures at conferences, conventions, seminars, and meetings.

7. Publication (informal or formal).

8. Research in progress.

Category C. Professional Service, Representative Measures

1. Service on Committees.

   a. Library Faculty committees.

14. An ability to apply the principles of cataloging and classification effectively and accurately.

15. Effectiveness in applying bibliographic techniques to the acquisition, development, and organization of library collections.

16. Stimulation of faculty and student use of the library and other bibliographical resources and effective assistance to faculty and students in their exploitation of resources.

17. Cooperation with other libraries and institutions to facilitate research and to develop regional and national library services.

18. Ability to set objectives, express them in meaningful documentation, and plan their execution.

19. Decisiveness and efficiency in decision-making processes and effectiveness in the execution of policy decisions.

20. Ability to delegate authority.

21. Ability to plan, organize, coordinate, and direct operations and subordinate parts of departments or divisions.

22. Effectiveness in establishing professional or clerical training programs.

23. Ability to encourage effective performance.

24. Impartial and sensitive treatment and evaluation of staff.

25. Fair and considerate treatment of subordinates.

26. Ability to communicate with administrators, colleagues, and staff.

27. Alertness to new methods and technological changes.

B. Professional Growth and Development

A member of the library faculty who is responsive to the demands of his/her profession will excel in the areas of professional growth, scholarship, research and creativity, and/or professional service. Evidence of professional growth and development are the following: awareness of current developments in the library profession and appropriate subject fields; continuing scholarly growth as exemplified by formal or informal study, research, or publication; active participation in professional organizations and institutional affairs; and, interest in improving the profession and its image within the university and society at large.

V. TENURE

PRINCIPLE

The Principle of library faculty tenure imposes reciprocal responsibilities on the university as a body politic an on the library faculty member. The university has the responsibility of maintaining the principles of academic freedom. To discharge this responsibility the university provides tenure in order that the library faculty member may be secure in his/her professional work. The library faculty member, on his/her part is obligated to maintain high standards of professional conduct, research and creativity, and performance in the development and organization of library services, and the communication of information and knowledge to others. (Language adapted from Indiana University, Faculty Handbook.)

The Purposes of library faculty tenure are: 1. to protect the academic freedom of the librarian and the library, 2. to protect the individual rights of the librarian against political attacks and criticism of his/her personal conduct that has no relation to his/her job, 3. to provide a staff whose professional competence will insure the continued growth and development of the library.

PROBATIONARY PERIOD AND PROCEDURES

This report is concerned only with initial implementation of library faculty status. Specific recommendations for librarians now employed are contained below. An outline of the probationary period and the procedures similar to that contained in the Faculty Handbook will need to be devised in the future.

CRITERIA

The criteria for tenure are largely inseparable from the criteria for promotions. Tenure is not granted lightly nor upon an automatic basis. The librarian is granted tenure at the end of seven years service, based upon the merits of his/her performance in the field of librarianship as measured by the criteria.

During initial implementation, the criterion of excellence of performance shall be the basic criterion for the tenure decision.

INITIAL IMPLEMENTATION OF LIBRARY FACULTY STATUS

Applicable to Librarians with Six or More Years of Service in the System

A decision will be made on each individual by the University Librarians Promotion and Tenure Committee and the administrators involved in the process as outlined in Section VI: "The Promotions and Tenure Process".

Decision Options:

1. Tenure immediately at any rank, Assistant Librarian and above.

2. Assistant Librarian rank with 0-5 years credit toward tenure with the understanding that specific deficiencies will need to be rectified. The Promotions and Tenure Committee shall state in writing those specific areas in which improvement is needed. Instances in which this option is recommended are expected to be rare.

b. Departmental committees.

c. All-university or all-campus committees.

d. Other professionally related committees.

2. Professional consultation.

3. Participation in individual and/or group instruction. Includes informal or classroom instruction, tours of library facilities, supervision of library science student's practice work, etc.

4. Service on doctoral, master's, or honor's thesis committees.

5. Advisor to student groups or activities.

C. Community Service

The performance of services for external organizations or the university may retard the accumulation of evidence in criteria A and B while contributing to the value of the librarian as a member of the university or campus community. In such cases, community service shall also be considered. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the university or campus, and its effect on the development of the individual.

Representative Measures

1. Membership and participation in organizations outside the university and the librarian's professional field(s).

2. Volunteer work in the community.

3. Speaking engagements in the community.

4. Public offices held.

VI. THE PROMOTIONS AND TENURE PROCESS

Approved by the Board of Trustees, Indiana University, February 25, 1972*

"2. Advancement within the library ranks shall be by promotion. Recommendations for promotion in rank shall be processed as follows:

a. recommendation prepared by supervisor of person under consideration and forwarded to the head of the appropriate library division for action;"

The Personnel Librarian shall initiate the promotions process by sending notification to the appropriate administrative supervisor, e.g. local campus chancellors or dean of faculties for RCL, deans or vice chancellors of IUPUI, director and assistant directors for the Bloomington campus, and the director of RCL for the central services RCL staff. Recommendations are prepared by the immediate supervisor(s). Recommendations are then returned to the above indicated administrative supervisors for review and transmitted to the appropriate library division head (RCL, IUPUI, and Bloomington) who has received duplicate notification of initiation of the promotions process.

"b. recommendations of the head of each library division are forwarded to the appropriate chancellor for review and recommended action;

c. Chancellors' recommendations are forwarded to the Office of the Vice President for Academic Affairs for review by an all-university librarians promotions committee appointed by the President in consultation with the Director of Libraries;"

Promotions and tenure decisions shall be considered by the all-university promotions committee.**

"d. recommendations of the all-university librarians promotions committee are transmitted to the Office of the Vice President for Academic Affairs for review by the Director of Libraries and for presentation to the Board of Trustees."
(By action of the Board of Trustees, the title, Director of Libraries, now designates the Dean of University Libraries.)

Any library faculty member who is dissatisfied with action, or lack of it, taken in regard to his/her promotion and/or tenure may appeal.

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*Statements not in quotes are explanatory additions to the Board of Trustees recommendations.

**Optional promotion and tenure committee structure(s) may be operational on the divisional and campus levels to make recommendations to the appropriate library division head as indicated in 2a.

Applicable to Librarians with Less than Six Years of Service in the System

A decision will be made on each individual by the University Librarians Promotions and Tenure Committee and the administrators involved as outlined in section VI: "The Promotions and Tenure Process."

A. Librarians whose experience has been only in the I.U. Library System

Decision Options-

1. Affiliate Librarian rank or above with credit toward tenure corresponding to the number of years in the system. This decision indicates the librarian is successfully preparing for tenure.

2. Affiliate Librarian rank or above with credit toward tenure, but less than the actual number of years in the Indiana University Library System. The Promotions and Tenure Committee shall state in writing those specific areas in which improvement is needed.

B. Librarians who have had additional library experience elsewhere

Decision Options-

1. Assistant Librarian rank or above with tenure.

2. Assistant Librarian rank or above without tenure. Credit toward tenure will be based on the number of years in the Indiana University Library System and/or the number of years experience elsewhere, except that experience elsewhere may not count toward tenure in cases where the experience is not comparable to experience in the Indiana University Library System. This decision indicates the librarian is successfully preparing for tenure.

3. Assistant Librarian rank with credit toward tenure, but less than the number of years in the Indiana University Library System, and no credit for experience elsewhere. The Promotions and Tenure Committee shall state in writing those specific areas in which improvement is needed.

VII. THE UNIVERSITY LIBRARIANS PROMOTIONS AND TENURE COMMITTEE

MEMBERSHIP

The University Librarians Promotions and Tenure Committee shall be composed of nine librarians appointed by the President in consultation with the Dean of University Libraries. The Personnel Librarian shall be an ex-officio member.

RESPONSIBILITY

The primary responsibility of the University Librarians Promotions and Tenure Committee is to make recommendations to the Dean of University Libraries regarding the promotion and tenure of all librarians in the Indiana University Library System.

TERM OF APPOINTMENT

Five members of the Committee shall serve from the date of appointment to June 30, 1975. Four members shall serve from the date of appointment to June 30, 1974. Thereafter, members of the Committee shall serve for a two year term. Members of the Committee may not succeed themselves. In 1974 and subsequent years, the term of appointment for each member shall begin on the first day of July.

STRUCTURE

1. The geographical distribution of the Committee shall reflect the number of librarians in the three divisions of the University--Regional Campus Libraries, IUPUI, and the Bloomington Library. Therefore, the initial distribution of members shall be: two members from the Regional Campus Libraries, two members from IUPUI, and five members from the Bloomington Library.

2. The Assistant Librarian, Associate Librarian and Librarian ranks shall be represented by at least one Committee member. The recommended structure is as follows: two Assistant Librarians, five Associate Librarians, and two Librarians, insofar as this is possible considering the number of library faculty in the rank, previous service on the Committee and suitability for membership. At least one member of the Committee should be untenured, but no more than two should be untenured. The Dean of University Libraries, assistant or associate directors, and library division heads (Regional Campus Libraries, IUPUI, and Bloomington Library) shall not be eligible to serve on the Committee.

OFFICERS

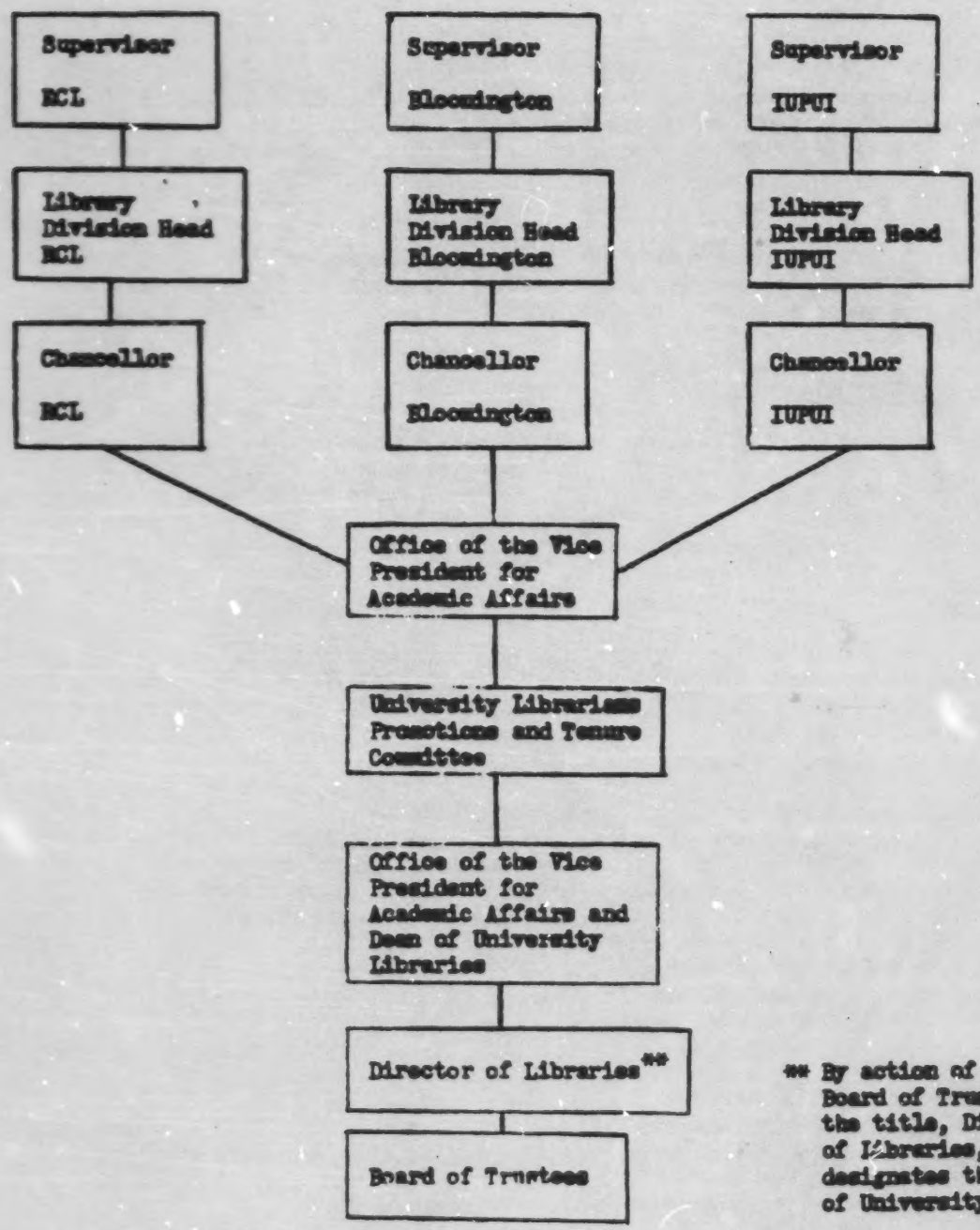
The Committee shall elect a chairperson and a secretary from its membership. It shall be the duty of the chairperson to preside at meetings of the Committee. It shall be the duty of the secretary to record the minutes of the Committee and to perform such other duties as designated by the chairperson.

COMMITTEE MEETING ATTENDANCE

1. A Committee member should not be present at meetings which deal with his/her promotion or tenure.

2. Members of the Committee are expected to excuse themselves from deliberations of individual librarians if, in their judgment or the judgment of the Committee, they cannot render an impartial judgment.

PROMOTIONS PROCESS*



** By action of the Board of Trustees, the title, Director of Libraries, now designates the Dean of University Libraries

* Diagram derived from recommendations approved by the Board of Trustees, February 25, 1972.

VIII. APPOINTMENT AND PERSONNEL FILES

Appointment File

1. The appointment file shall contain confidential letters of recommendation, transcripts, and any other material submitted in confidence for the purpose of evaluation for initial appointment.

2. The appointment file shall also contain confidential letters of recommendation and other material submitted in confidence for the purpose of evaluation in applying for a change in appointment in the Indiana University Library System.

3. Access to the appointment file is limited to the search and screening committee and to the appropriate administrative supervisor(s) during the appointment process, e.g. local campus chancellors or deans of faculties, deans or vice chancellors of IUPUI, the Dean of University Libraries, the director and assistant directors for the Bloomington Library, the director of RCL for the RCL system staff, the assistant director of RCL for the RCL Technical Services Center staff, and appropriate administrative or department heads.*

4. After initial appointment or change of appointment in the Indiana University Library System, access to the appointment file is limited to members of the library administration with the title of assistant director or above and the personnel librarian.

Personnel File

An open file policy is intended to encourage objective, fair, and constructively critical evaluations and recommendations of librarians. The following policy has been formulated to allow librarians an opportunity to respond to evidence submitted for their files.

1. The personnel file shall contain all appropriate documents from internal or external sources submitted to the file after initial appointment. Examples of appropriate documents are as follows: Personnel Evaluation Form, Profile of Professional Activity, supporting documents (articles, papers, other published or unpublished material, etc.), solicited or unsolicited statements or letters of recommendation, and any additional information or letters an individual may submit for his/her file. The librarian has the right to submit comments on any material submitted to his/her personnel file.

2. Letters of reference from sources outside of Indiana University (solicited or unsolicited) and obtained since March 1, 1973, shall be regarded as non-confidential when submitted to the personnel file. Any letters of reference or recommendation obtained or received since the time of initial appointment, but prior to March 1, 1973, shall be placed in the personnel file only if a statement of non-confidentiality can be obtained from the originator.

3. The personnel file shall <u>not</u> contain confidential letters of recommendation or confidential statements, grade transcripts, personal financial data, medical records, police and court records, and records of political activity, except as submitted by the librarian for his/her personnel file.

PROCEDURES AND GUIDELINES

In arriving at its recommendations, the Committee shall follow the following guidelines and procedures.

1. The Committee shall examine and review the personnel file of each librarian under consideration. The contents of the file will vary from librarian to librarian. Besides a "Performance Evaluation Form" submitted by a supervisor and the "Profile of Professional Activity" submitted by each librarian, the file may contain recommendations from supervisors, peers, teaching faculty, administrators, library division heads, students, and campus promotion and tenure committees where such committees exist. For initial implementation, peer evaluation will not be used. The file may not contain personal financial data, medical records, police and court records, or records of political activity.

2. Any librarian, teaching faculty member, student, library, campus, or university administrator may submit comments and recommendations on any librarian under consideration, or on such matters which may relate to the consideration of any librarian or group of librarians. Such communications to members of the Committee shall be considered privileged and confidential.

3. The Committee shall solicit additional recommendations or evaluations as appropriate.

4. The Committee shall meet with the librarian under consideration as appropriate.

5. The Committee shall meet with the supervisors or other evaluators as appropriate.

6. At its discretion, the Committee may initiate the promotions process for any librarian not submitted to its consideration by the Personnel Librarian.

7. The Committee will treat as confidential all information about an individual's promotion and tenure. Committee decisions and Committee proceedings concerning an individual will not be discussed with anyone outside the Committee, including the individual concerned.

8. When voting on recommendations related to promotions, all members may vote. When voting on tenure recommendations, only tenured members may vote.

9. The Committee shall use every means at its disposal to insure that each librarian is fairly and equitably treated.

PERSONNEL FILES

The complete personnel file for the University Librarians Promotions and Tenure Committee shall be in the office of the Personnel Librarian at Bloomington.

#7-B

PERFORMANCE REVIEW

STANFORD UNIVERSITY LIBRARIES

Performance Appraisal Program

1. The introduction of the new performance appraisal will begin in April. The Director and all Department Chiefs will receive a list of names of staff members who are to be evaluated, with a supply of instruction sheets and Forms A and B. Please treat the forms you receive as the originals. When Forms A and B are finally completed, send them to the Library Personnel Office; copies for the staff member and for the Department Chief's file will be returned.

2. Upon receipt of the names of staff members to be evaluated, the Director and each Department Chief may assign responsibility for individual appraisals to a supervisor (i.e., each named staff member should have a named supervisor). Each supervisor must schedule a Performance Appraisal Conference with each staff member on that list. One week prior to the time for this scheduled Conference, the supervisor should give the staff member Form B to complete. The Conference should be scheduled for a sufficient length of time so that neither the supervisor nor the staff member feel pressured; the location should be one in which conversation may occur in private.

3. The supervisor and the staff member should give careful thought to the questions on their respective forms and complete the questions on the top part of the form as thoroughly as possible prior to the Conference.

4. The supervisor and Department Chief should review the supervisor's evaluation(s) to add dimension to the supervisor's contribution to the Performance Appraisal Conference.

5. The supervisor and the staff member should bring their completed forms to the Conference. The discussion should cover the questions on the forms and any other matters of concern to either participant.

6. The tone of the Conference should be free and open communication with thoughtful questions and answers. The emphasis should be on building improved relations and working toward mutual objectives. Honesty in evaluations is essential; glossing over weaknesses is a disservice to both the individual and to the organization.

7. The Conference should result in improved mutual understanding by the supervisor and by the staff member as to what each expects from the other in terms of performance and relationship improvement before the next Performance Appraisal Conference.

8. The supervisor and staff member should write on their respective form a summary statement of that mutual understanding as well as any specific objectives or goals to be achieved, and the time-frame for completion where appropriate.

9. Should there be a special need for training not available on the job site, the supervisor should note this only on the supervisor's form.

4. The personnel file may contain unsolicited documents. Unsolicited documents are those statements submitted to the Personnel Librarian for a librarian's personnel file which were not requested by the librarian, the promotions and tenure committee, the Personnel Librarian, and/or library and university administrators. Upon receipt of an unsolicited document for a librarian's personnel file, the librarian shall receive a copy of that document accompanied by the response, if any, from the individual or group to whom the document is addressed. The librarian may submit comments on any unsolicited documents for his/her personnel file.

5. Access to a librarian's personnel file is limited to the individual librarian, members of the library administration, the Personnel Librarian, the University Librarians Promotions and Tenure Committee, and the appropriate administrative supervisor(s), e.g. local campus chancellors or deans of faculties, deans or vice chancellors of IUPUI, the Dean of University Libraries, the director and assistant directors for the Bloomington Library, the director of RCL for the RCL System staff, the assistant director of RCL for the RCL Technical Services Center staff, and the individual librarian's evaluator. The personnel file shall be closed and confidential to anyone else, except that the librarian may give his/her written permission to release his/her file for examination by another party or parties.*

6. Within the context of the promotions and tenure process, various recommendations and supporting evidence shall be submitted for a librarian's personnel file for review by those individuals and/or groups responsible for implementing the process. For those recommendations and supporting evidence to be submitted for the process from outside Indiana University, a statement shall be forwarded by the Personnel Librarian to the appropriate individual(s) stating that the personnel files in the Indiana University Library System are accessible to the individuals stated above (no.5) and that all statements should be submitted with full cognition of this policy. All individuals participating in the promotions and tenure process within Indiana University shall be furnished with a copy of this document.

File Maintenance and Security

It shall be the responsibility of the Personnel Librarian to institute the necessary procedures to insure the maintenance and security of the appointment and personnel files according to the preceding guidelines.

*In the case of individuals already appointed to the Indiana University Library System applying for a change in appointment, their application automatically opens their initial appointment and personnel files to the appropriate administrative supervisors herein mentioned. If the University Librarians Promotions and Tenure Committee is consulted on questions of tenure for initial appointment, the Committee shall have access to the appointment file(s) of the applicant(s)

4. Termination:	Like change-in-status, upon the termination of either a staff member or the immediate supervisor, a review must take place.
5. Performance:	At any time that job performance is other than that normally accepted for that job, a supervisor, Department Chief or Director may initiate a review.
6. Personal:	At any time a staff member requests a review, it shall occur.

SUPPORT STAFF

1. New-hire (in any classification):	Review at 3-6-18-30 months, or attainment of the control-point on the salary range whichever comes first.
2. Change-in-status (classification):	There should be a review as part of the determination that an advancement in rank should occur. If promotion occurs, there should be a review in twelve months, and annually thereafter until the control point is reached (this is then a change-in-assignment).
3. Change-in-assignment:	In case an individual or the immediate supervisor is reassigned to other duties or otherwise terminates the supervisor-staff member relationship, there should be a review to that date, to keep the record complete. The new supervisor will prepare an appraisal, twelve months from the date of the change of assignment.
4. Termination:	Like a change-in-status, upon termination of either a staff member or the immediate supervisor, a review must take place.
5. Performance:	At any time that job performance is other than that normally accepted for that job, a supervisor, Department Chief or Director may initiate a review.
6. Personal:	At any time a staff member requests a review it shall occur.

3/22/73

10. At the completion of the Conference, the supervisor and staff member should sign the designated sections of each form. The supervisor should pass both forms to the Department Chief who should carefully review them, resolve difficulties or ambiguities, if any, with both the staff members and the supervisor, make appropriate comments on the forms, sign and date them before forwarding them to the Library Director's Office. This must be done within 5 working days after the Conference.

SCHEDULE

In order to have complete and reasonably current performance data on file, it is important that this process be carried out at specified times. There are several over-riding guidelines to be followed.

1. There should never be a period exceeding 36 months between Performance Appraisal Conferences.
2. Conversely, performance appraisal should not occur at less than three month intervals unless so specified by the Library Director.
3. Also, the sequence of reviews will be determined by the date of the last Performance Appraisal Conference.
4. Finally, the review should take place during the month indicated.

The following order for scheduling evaluations will be carried out:

Professional Librarians (Pending recommendations from the Commission and administrative action on such.)

1. New-hire as L. I:	Review at 6-15-24 months.
L.II and above:	Review at 12 and 24 months.
2. Change-in-status (classification):	There should be a review as part of the determination that an advancement in rank should occur. Upon advancement to L II, follow with 12 and 24 month reviews.
3. Change-in-assignment:	In case an individual or the immediate supervisor is reassigned to other duties or otherwise terminates the supervisor-staff member relationship, there should be a review to that date, to keep the records complete. The new supervisor will prepare one appraisal, twelve months from the date of the change of assignment.

INSTRUCTIONS (Continued)

Questions 7 and 8

Suggestions can range from formal training needs to reorganization of work flow. Be specific.

Question 9 Form B

Optional, of course.

Question 10 Form B

Attempt to state immediate employment objectives as well as longer range career goals whether within the Library or not.

Summary Statement:

This must be completed, on both forms, and should, in general, be identical if mutual understanding has been achieved. It is possible that they will not be the same; the significance of the differences will have to be initially assessed by the review of the Department Chief/Director. The signatures simply indicate that the summary statement has been read and that the signer concurs with it.

March, 1973

INSTRUCTIONS FOR COMPLETING PERFORMANCE APPRAISALS FORMS A AND B:

Question 1

The responsibilities and duties of each job are reflected in the language of the job classification description and generally cover the full range of tasks that can be performed within that description.

List the tasks that have to be performed to meet the responsibilities and duties in order of priority. An individual may not perform all of the tasks listed; that fact provides the basis for accurate evaluation and does not in any way prejudice the overall appraisal.

Include all tasks assigned and performed since the last review. Be as specific as possible in their priority and identification.

Question 2

This is the place for the over-all job performance rating. Evaluate the actual tasks performed and quality of that performance. Explain the addition or omission of tasks performed in relation to the priority list provided in Question 1.

If the rating is other than the normal, expected satisfactory performance (i.e., exceptional or unsatisfactory) there must be specific identification of facts which lead to that conclusion, a recitation of continued performance at that level, and indications of what you have done about it.

Question 3

Detail here both the skills and personal qualities that you deem essential to satisfactory performance of the total job.

Question 4

Indicate how you know the skills and qualities are possessed by the staff member and how you have assigned them to the tasks to be performed. Differentiate between skills and personal qualities.

Questions 5 and 6

These questions provide the rationale for the general appraisal rating made above in Question 2. Be specific.

STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL

A

This form is to be used by the Supervisor in preparation for the Performance Appraisal Conference.

Name of Staff Member _____ Library Department/Branch _____

Library Classification Title _____ Starting date in classification _____

Date of last Appraisal Conference _____ Scheduled Conference Date _____

OVERALL PERFORMANCE APPRAISAL

1. What are the responsibilities and duties of this position, and the particular tasks that are to be performed?

2. How well does the staff member perform these responsibilities and duties?

SPECIFIC ASPECTS OF JOB PERFORMANCE

3. What skills and personal qualities are necessary for the effective performance of these tasks:

4. To what extent does the staff member possess these skills and personal qualities?

STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL

B

This form is to be used by the staff member in preparation for the Performance Appraisal Conference.

Name of Staff Member _____ Library Department/Branch _____

Library Classification Title _____ Starting date in classification _____

Date of last Appraisal Conference _____ Scheduled Conference Date _____

OVERALL PERFORMANCE APPRAISAL

1. What are the responsibilities and duties of this position, and the particular tasks that are to be performed?

2. How well do you perform these responsibilities and duties?

SPECIFIC ASPECTS OF JOB PERFORMANCE

3. What skills and personal qualities are necessary for the effective performance of these tasks?

4. To what extent do you possess these skills and personal qualities?

5. In what aspects of these tasks does the staff member show particular strength?

6. In what aspects of these tasks does the staff member need improvement?

7. What can the staff member do to improve?

8. What can you do to help the staff member improve?

The following statement summarizes the facts, objectives or goals mutually established at the Performance Appraisal Conference:

Supervisor _____ _____ Staff Member _____ _____
date date

Reviewed by Department Chief/Director _____ _____
date

SUL 1104 (approved by P.& E.R. Dept) 7/73

PERFORMANCE APPRAISAL FORMS

STAFF COMMENT

I have just completed Form A ___ B ___ (check one) and the Performance Appraisal Conference. Because this represents quite a departure from past procedures and records, I would like to make the following comments to help with further improvements of this process:

1. In general, I like ___ dislike ___ (check one) this new form.

2. In particular I found the following questions easy to answer: (specify and state why):

3. The following questions were difficult to answer: (specify and state why):

4. The form can be improved by adding ___ removing ___ (check one) the following question:

5. The procedure can be improved by:

6. The Performance Appraisal Conference meets with my approval ___ disapproval ___ (check one) because:

Please forward this, signed or unsigned, to: Library Personnel Office, Room 106-A, Main Library.

Thank you.

Bernard J. Denham
Library Personnel Officer

5. In what aspects of these tasks do you show particular strength?

6. In what aspects of these tasks do you need improvement?

7. What can you do to improve?

8. What can your supervisor do to help you improve?

GENERAL OBSERVATIONS:

9. What can be done to improve communication between you and your supervisor?

10. What are your job interests and career goals?

The following statement summarizes the facts, objectives or goals mutually established at the Performance Appraisal Conference:

Supervisor _____ _____ Staff Member _____ _____
date date

Reviewed by Department Chief/Director _____ _____
date

SUL 110B (approved by P.& E.R. Dept) 7/73

FACTORS

PERFORMANCE — 1-5						COMMENTS
1. ORGANIZATION OF WORK (Analyses and systematizes both methods and time)	Analyses and organizes work readily, clearly, & intelligently	Organizes work well	Shows satisfactory ability for organization	Has difficulty in organizing work	Work must be organized for him	
2. QUANTITY OF WORK (Amount accomplished)	Accomplishes unusually high volume of work	Rapid worker; usually ahead of schedule	Accomplishes assigned tasks	Does just enough to get by	Quantity of work unacceptable	
3. ACCURACY (Freedom from mistakes)	Exceptional	Very few errors. Maintains high standards	Steady, careful worker	Frequent errors	Very many errors. Work must always be followed up	
4. THOROUGHNESS (Perseverance; follows through to completion)	Meticulous in checking. Always sees things through	Usually thorough	Reasonably careful	Superficial. Does not follow through if difficulties arise	Does not complete assignments satisfactorily	
5. JUDGMENT (Ability to make balanced decisions)	Sound, mature judgment. Makes decisions readily	Good judgment on most problems	Carefully considers decisions	Indecisive. Disregards important facts	Poor judgment	
PROFESSIONAL QUALITIES — 6-10						
6. TECHNICAL KNOWLEDGE (Familiarity with skills, tools, techniques of job)	Thoroughly grounded in skills and tools. Incorporates new techniques	Understands basic techniques and uses some new developments	Understands basic techniques	Has few skills; unable to apply them	Does not have basic skills	
7. PROFESSIONAL KNOWLEDGE (Keeps pace with professional developments)	An omnivorous reader; broad knowledge & interests	Reads widely and intelligently	Reads relevant materials	Reads little; lacks interest	Intellectually apathetic; does not keep pace	

DUKE UNIVERSITY LIBRARY
RATING SCALE EVALUATION OF PROFESSIONAL LIBRARIANS

NAME_____ DATE_____

NAME OF SUPERVISOR_____ DEPARTMENT_____

PERIOD COVERED_____

PERFORMANCE REVIEW

This rating scale form for supervisory evaluation is to be used in conjunction with, or in place of, the essay evaluation form to provide information for promotion and salary determinations and for other personnel actions. The evaluation should be available to the evaluated librarian and an evaluation conference held, if desired.

Factors which pertain to performance, qualities, and abilities are listed. Five gradations ranging from strength to weakness are noted for each factor, with explanatory phrases defining the gradations. Place a check on the horizontal line above the gradation which most nearly expresses your evaluation. Alter the explanatory phrases as necessary to describe the individual. If a factor does not apply (N/A) or if there is no opportunity to observe (N/OO), so indicate in the space marked Comments. Also use this space, if needed, for additional clarification.

OVERALL EVALUATION OF WORK AND ADDITIONAL COMMENTS:

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JUL 20 1974
ULMSO

I recommend this librarian for continuation___promotion___termination___.

Supervisor's signature_____

Evaluated librarian's signature_____
Comments:

Assistant or Associate University Librarian's signature_____

9-73

						COMMENTS
14. ADAPTABILITY (Ability to accept other ideas and methods of work)	Exceptionally openminded. Eager to test new ideas	Readily accepts new ideas	Receptive to new ideas	Satisfied with status quo	Rejects new methods and ideas	
15. ATTITUDE TOWARD INSTRUCTION/ CRITICISM	Seeks instruction and constructive criticism. Profits by it	Welcomes instruction/criticism and acts upon it	Generally accepts instruction/criticism	Usually looks for an alibi	Resents and rejects instruction/criticism	
ADMINISTRATIVE ABILITY — 16-20						
16. FAIRNESS TO SUBORDINATES	Exceptionally fair, sympathetic & understanding	Deals justly, impartially & firmly	Deals fairly in most cases	Sometimes unjust	Plays favorites. Easily prejudiced	
17. ABILITY TO TRAIN	Develops staff members to a high degree of effectiveness	Achieves definite progress with most staff members	Usually develops good workers	Rarely develops staff	No training ability	
18. JUDGMENT OF PERSONNEL (Analyzing and estimating abilities of staff)	Has extraordinary ability to see merits and deficiencies in people	Makes sound decisions and is ready to act on them	Reasonably good judge	Likely to misjudge	Judgment cannot be trusted	
19. LEADERSHIP (Ability to stimulate)	Exceptional and inspiring leadership	A good leader, thoroughly respected	Able to lead but does not inspire	Has little influence on others	Ineffective	
20. SUPERVISORY ABILITY (Overseeing and guiding accomplishment)	Unusual ability to guide work of others and to detect and eliminate obstacles	Good supervisor, Keeps work running smoothly. Assigns work skillfully	Obtains adequate results from staff	Lack of perception and foresight hampers accomplishment	Unable to supervise	

						COMMENTS
8. PROFESSIONAL ACTIVITIES (Interest in library and allied organisations)	Enters into professional activities with enthusiasm & active interest	Interested member of professional groups	Joins organisations. Has had little opportunity to be active	Slight interest in professional groups	Not interested	
9. RELATIONS WITH LIBRARY PUBLIC OR STAFF (Approachability, desire to assist)	Enthusiastic; sought by readers or colleagues	Easily approached and responsive; is able to interpret problems	Gives help willingly on request	Indifference apparent	Antagonises others	
10. AWARENESS OF UNIVERSITY COMMUNITY (Ability to analyse the possibilities of library service to the university community)	Measures accurately university needs and interests	Interested in library service to the university community	Willing to consider university interests and needs	Knows little about university interests and needs	Indifferent to the community the library serves	
PERSONAL QUALITIES — 11-15						
11. INITIATIVE (Ability to think creatively and effectively)	Brilliant and creative mind	Has imagination. Devises new schemes & methods	Moderately resourceful	Rarely makes suggestions or starts activities	A plodder. Needs direction	
12. SELF-DEVELOPMENT (Eagerness to improve and advance)	Systematically prepares self for more advanced work	Puts forth an extra effort to improve and learn	Interested in self-improvement	Little ambition. Hoping for a lucky break	Interested only in getting by	
13. CO-OPERATIVENESS (Ability to do team work)	Actively helpful	Good teamworker. Usually ready to co-operate	Works well with most people	Works poorly with others	Cannot work with others	

I recommend this librarian for continuation___promotion___termination___.

Supervisor's signature_____

Evaluated librarian's signature_____
Comments (Continue on back)

Assistant or Associate University Librarian's signature_____

DUKE UNIVERSITY LIBRARY
ESSAY EVALUATION OF PROFESSIONAL LIBRARIANS

[redacted]

NAME__ PERFORMANCE REVIEW _____ DATE_____

NAME OF SUPERVISOR_____ DEPARTMENT_____

PERIOD COVERED_____

This essay form for supervisory evaluation is to be used in conjunction with, or in place of, the rating scale form to provide information for promotion and salary determinations and other personnel actions. The criteria for promotion, described in "Ranking Structure for Duke University Librarians", provide the basic guidelines for the evaluation. The additional guidelines specified below may be used at the supervisor's discretion.

The evaluation should be available to the evaluated librarian and an evaluation conference held, if desired.

1. Job performance - Assess the librarian's understanding of his job and its relationship to the total library program. Consider organizational ability, the ability to integrate his work within the total service concept and with other units. Mention specific aspects of the job wherever possible.
2. Quality and quantity - Compare these factors to the requirements of the job. Consider basic knowledge, thoroughness and general quality of work, analytical ability, judgment, and reliability.
3. Personal relationships - Assess the librarian's ability to work effectively with people to accomplish library objectives.
4. Responsibility and initiative - Consider willingness to assume responsibility, accept instruction and criticism, develop abilities; imagination and resourcefulness.
5. Areas for improvement.
6. Promotion potential - What capacity does the librarian exhibit to assume growing responsibility in the job and/or to perform the duties of a higher-level job? Consider delegation of responsibility, leadership, and mental and physical capacity to maintain professional output.

RECEIVED
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9-73

INSTRUCTIONS

Professional Staff Performance Appraisal

Please read the attached position description before completing the appraisal form for _____.
Name of Staff Member

Question 1. Extract the primary tasks from the position description and list them in order of priority in answering this question.

Question 2. Indicate the over-all job performance. Evaluate the actual task performed and quality of that performance. If you have not discussed some of the tasks listed under question 1 or have added any, please explain.

Question 3. In answering this question, in addition to the factors suggested, you may wish to include factors not listed in the box.

Question 4. Identify the areas in which the staff member needs improvement and ways in which you, as supervisor, can assist the staff member to achieve this.

Question 5. Self-explanatory.

When the form is completed, discuss it with your supervisor.

After meeting with your supervisor, arrange a Performance Appraisal Conference with the staff member being appraised at a location that will allow private conversation and for a sufficient length of time so that neither person will feel pressured.

The discussion should include but not be limited to the questions on the form. Discussion of any other matters that could help improve relations and work toward mutual objectives should be included. Emphasis should be on employee strengths and ways to better utilize them. At the conclusion of the conference, the staff member is given the opportunity to read the completed form and to make written comments on it, if desired. Whether or not comments have been made, the staff member must sign the form where designated.

Please forward the signed form in an envelope marked CONFIDENTIAL To: Assistant University Librarian for Personnel, Library Personnel Office, 315 Butler

COLUMBIA UNIVERSITY
Interdepartment Memorandum

Date December 3, 1973

To Supervisors evaluating Professional Staff

Subject General Guidelines for Professional Performance Appraisal

During the past several years there has been considerable discussion concerning the need to re-evaluate the performance appraisal program used for professional staff members. The topic has been considered in depth by the Representative Committee of Librarians in their meetings and in discussions with the professional staff. In addition, the management study recommended the adoption of a program of regular performance appraisal and made specific recommendations concerning other aspects of staff development. The Staff Development Committee has worked with the office of the University Librarian in the preparation of the attached guidelines and appraisal form.

In the hope of meeting the goals of all concerned, we are beginning a new program of performance appraisal of professional staff. The object of this program is to help develop staff members' fullest potential in order to meet their needs and goals and at the same time to accomplish the objectives of the library system and the University community as a whole.

APPRAISAL FORM

The first performance appraisal form is attached. The supervisor is asked to review and evaluate the accomplishments of the individual staff member and to assess the particular strengths and weaknesses of the employee. In addition, the supervisor is asked to consider the areas in which the employee might benefit from specific training or development. The employee's strengths and potential ability should be important considerations in the development plan. It is assumed that in the future the supervisor and employee will have agreed upon standards of performance to be met and will have established mutual goals.

We ask for your comments and criticism of the appraisal form itself, so that improvements can be incorporated in future versions.

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Frederick Duda
Assistant University Librarian
for Personnel

f. Inquire about problems or obstacles that the employee finds are impeding progress and job satisfaction. Mutual understanding of the problems may help in their resolution.

g. Be a good listener.

h. Ask the individual if you can do anything (e.g. behavior, attitude) to help on the job. (This provides you with feedback on your behavior and how it affects your staff.)

i. When reviewing areas in which the employee needs development, discuss only a limited number. Direct your discussion to those major areas which are critical for job performance and for which you can provide examples.

j. Discuss a plan of action for training, personal development, opportunity for growth, not only to help strengthen the employee but to take advantage of his strengths and potential ability.

k. Be sure the employee knows where he stands, in what areas he needs improvement, what plan of action will help him achieve that improvement, and what opportunities are available to him for future development. A recapitulation of key points, made by either the employee or the supervisor, or both, is a good way to assure joint understanding.

5. The Follow Through. It is the supervisor's responsibility to review the employee's progress and to encourage as well as facilitate the employee's participation in the agreed upon plan of action. An interim appraisal may be necessary to maintain this contact.

INDIVIDUAL'S COMMENTS

After reading the completed form, the individual being evaluated may comment in writing on the appraisal.

APPRAISAL PROCEDURE

1. Preliminary Assessment. Prior to completing the form, give careful consideration to the following:

   a. The individual's strengths and weaknesses;

   b. A plan for meeting the developmental needs of the individual;

   c. An estimate of the individual's potential, in developing him within the context of his present job, in the sense of the individual's moving to a higher level of responsibility, or into another area.

2. Complete the appraisal form using the attached instructions.

3. The Review with Your Immediate Supervisor. This step is necessary for several reasons:

   a. You as a supervisor have the responsibility for reaching your objectives and those of your staff;

   b. The review process provides your supervisor with information on your staff which he needs to obtain an understanding of the relationship of the performance of your staff to others;

   c. Your supervisor may have a broader view of the organization and of the possibilities for training, advancement, etc., for the individual concerned.

4. The Appraisal Interview. This is an extremely important part of the appraisal, and the following suggestions should be considered for the interview.

   a. Several days in advance, arrange the date and time of the interview with the employee.

   b. The physical arrangement should be well planned. It should be private, and there should be enough time to finish the interview without a feeling of haste.

   c. Emphasize that one of the purposes of the appraisal is to help the employees help themselves.

   d. Encourage self-examination on the part of the employee.

   e. Begin by discussing some strengths. Be specific, using examples.

SOME FACTORS FOR CONSIDERATION IN ANSWERING THE QUESTIONS ON THIS PAGE:

-PROFESSIONAL SKILLS	-JUDGEMENT	-ADAPTABILITY
-ORAL AND WRITTEN SKILLS	-RELIABILITY	-HUMAN RELATIONS
-ORGANIZATION AND PLANNING	-INITIATIVE	-LEADERSHIP
-RESOURCEFULNESS	-ATTITUDE	-SUPERVISORY ABILITIES

3. DESCRIBE THE PARTICULAR STRENGTHS OF THE STAFF MEMBER AS DEMONSTRATED IN THE POSITION.

4. INDICATE THE AREA(S) AND SUGGEST THE WAYS IN WHICH THE STAFF MEMBER CAN IMPROVE PERFORMANCE IN THE POSITION.

Professional Staff Performance Appraisal

Columbia University Libraries

STAFF MEMBER NAME		TITLE & UNIT	
P.C. & UNIT	UNIT & DEPT.	DATE OF HIRE	DATE ASSUMED CURRENT SUPERVISION
PREVIOUS ASSIGNMENT - IF CURRENT ASSIGNMENT LESS THAN SIX MONTHS		TITLE	DATES

SUPERVISOR NAME	TITLE	DATE

THE DUAL PURPOSE OF THIS APPRAISAL IS TO PROVIDE A RECORD OF JOB PERFORMANCE OF THE STAFF MEMBER SINCE HIS/HER LAST APPRAISAL AND TO SUGGEST THE PARTICULAR AREA(S) IN WHICH THE STAFF MEMBER WOULD BENEFIT FROM TRAINING AND/OR OTHER DEVELOPMENTAL ACTIVITIES.

-USE THE BACK FOR ADDITIONAL SPACE IF NEEDED-

1. DESCRIBE BRIEFLY THE RESPONSIBILITIES OF THE POSITION AND SPECIFY THE PRIMARY TASKS PERFORMED.

2. HOW EFFECTIVELY HAS THE STAFF MEMBER FULFILLED THE RESPONSIBILITIES OF THIS POSITION?

STAFF COMMENTS

PROFESSIONAL STAFF PERFORMANCE APPRAISAL FORM

IF THERE WAS DIFFICULTY ANSWERING ANY QUESTION, WHICH QUESTION(S) AND WHY?

IN WHAT WAYS DID THE FORM PROMOTE OR INHIBIT A MEANINGFUL APPRAISAL INTERVIEW?

HOW COULD THE FORM BE IMPROVED TO ACCOMPLISH THE GOALS OF THE APPRAISAL INTERVIEW?

OTHER COMMENTS:

NAME _____ DATE _____

FORWARD THE COMPLETED FORM IN AN ENVELOPE MARKED CONFIDENTIAL TO
ASSISTANT UNIVERSITY LIBRARIAN FOR PERSONNEL, LIBRARY PERSONNEL OFFICE, 315 BUTLER

A1.1

5. SUGGEST ANY FORMAL TRAINING NECESSARY TO ACCOMPLISH SUGGESTIONS MADE UNDER QUESTION 4.

APPRAISAL MADE BY

_____ _____
SUPERVISOR'S SIGNATURE DATE

STAFF MEMBER'S COMMENTS:

_____ _____
STAFF MEMBER'S SIGNATURE DATE

FORWARD THE COMPLETED FORM IN AN ENVELOPE MARKED CONFIDENTIAL TO
ASSISTANT UNIVERSITY LIBRARIAN FOR PERSONNEL, LIBRARY PERSONNEL OFFICE, 315 BUTLER

A1

3

INDIANA UNIVERSITY LIBRARIES

PROFILE OF PROFESSIONAL ACTIVITIES FORMAT — January, 1973

NAME_____

DATE_____

I. GENERAL BACKGROUND

A. EDUCATION

1. Degrees. Indicate subject area(s), dates, and institutions.

2. List additional course work, whether or not leading to an advanced degree. Indicate number of hours and areas. Include language courses.

B. OTHER PROFESSIONAL QUALIFICATIONS, e.g. certificates, licenses, etc.

C. LANGUAGE CAPABILITIES. List according to the following form:

Language(fill in)	Spoken	Read	Read/Dict.	Bibliographic Knowledge
	(Check where appropriate)			

D. EMPLOYMENT HISTORY

Indicate professional and any other relevant positions. Include teaching as well as library related positions, e.g. clerical positions, student assistants, etc. in a library. GIVE LATEST POSITION FIRST. Include a brief description of major responsibilities.

II. PROFESSIONAL DEVELOPMENT AND GROWTH

A. Attendance at professional, learned, or scholarly meetings, conventions, and conferences. (Note: If attendance involves the presentation of a paper, list under III C. below)

1. Indicate frequency of attendance at meetings and conventions, e.g. ALA, MALC, Ohio Valley, American Historical Association, Modern Language Association, etc.

2. List special conferences, workshops and institutes, etc., attended.

B. List memberships in professional, scholarly, learned, or honorary societies, e.g. ALA, American Association of University Professors, American Historical Association, Modern Language Association, Beta Phi Mu, Phi Beta Kappa, etc.

C. List fellowships, awards, and special honors received. Indicate nature, grantor, and date.

D. Indicate the development of any other professionally related skills, e.g. computer programming, book binding, counseling.

E. Grants

1. List research, travel, or other grants received. Indicate nature, grantor, and date. Be sure to include grant proposals written by you but which have been submitted under someone else's name.

2. List grant proposals which you have submitted but which have been rejected or not yet funded. Specify which category. Be sure to include proposals written by you but which have been submitted under someone else's name.

F. Indicate any other activities indicative of professional growth and development.

III. RESEARCH AND CREATIVE ACTIVITY

A. List research and/or special projects undertaken and completed, e.g. departmental manuals, handbooks, special research projects not resulting in formal publication.

B. Indicate the creation of any special catalogs, ready-reference files, indexes, etc.

C. List lectures and papers presented to professional groups. Give group, date, and subject. Under this heading <u>DO NOT INCLUDE</u> lectures to students or faculty in the university.

D. Publications

1. Books. Give citation.
2. Articles. Give citation and provide copies where possible.
3. Bibliographies. Give citation and provide copies where possible.
4. Book reviews. Give citation and provide copies where possible.
5. Performances, productions, and exhibitions. Include nature and date.
6. Other.

E. List editorships and memberships on editorial boards of journals, review sets, house organs, etc.

SEC EVALUATION FORM

NAME:

SUPERVISOR'S NAME:

DATE:

1. Knowledge of work assignment	10	9	Mastery of all phases of work
	8	7	High level of comprehension
	6	5	Adequate comprehension
	4	3	Minimal comprehension
	2	1	Inadequate comprehension
2. Professional & intellectual growth & attainment	10	9	Relates professional developments to job
	8	7	Keeps up with developments in job related fields
	6	5	Shows interest in profession and in job
	4	3	Only casually interested in profession & job
	2	1	Shows little or no interest in profession or job
3. Service orientation	10	9	Seeks new & effective means of service
	8	7	Shows concern for library service
	6	5	Considers only obvious service needs of public
	4	3	Shows minimal concern for service
	2	1	Indifferent to needs for service
4. Adaptability	10	9	Exceptionally open minded & flexible
	8	7	Willing to try new ideas
	6	5	Prefers established routines
	4	3	Has difficulty accepting new ideas
	2	1	Rejects new ideas

5. Judgment	10	9	Sound, mature judgment
	8	7	Good judgment on majority of issues
	6	5	Generally makes acceptable decisions
	4	3	Indecisive; avoids decisions
	2	1	Poor judgment
6. Initiative	10	9	Generates and implements new ideas
	8	7	Seeks additional responsibility
	6	5	Willingly accepts responsibility
	4	3	Does assigned tasks
	2	1	Usually needs prodding
7. Staff cooperation	10	9	Very agreeable; promotes harmony
	8	7	Always pleasant; works well with others
	6	5	Usually congenial & even tempered
	4	3	Sometimes difficult to get along with
	2	1	Irritable; arouses hostility
8. Thoroughness	10	9	Exceptional, always sees things through
	8	7	Usually thorough & accurate
	6	5	Moderately careful; work usually acceptable
	4	3	Careless
	2	1	Inaccurate
9. Productivity	10	9	Well organized; exceptionally fast worker
	8	7	Rapid worker; efficient, organized
	6	5	Works steadily; usually efficient & organized

	4	3	Does minimum acceptable work
	2	1	Disorganized; unable to complete assignments
	0		Not applicable
10. Relationships with individual users	10	9	Exceptionally responsive to needs of the public
	8	7	Always courteous, goes out of the way to be helpful
	6	5	Usually courteous & helpful
	4	3	Has some difficulty in relating to library users
	2	1	Poor public relations
	0		Not applicable
11. Management ability	10	9	Plans and works continuously for greater efficiency
	8	7	Seeks to solve problems; keeps work running smoothly
	6	5	Usually obtains adequate results
	4	3	Hesitant; sometimes fails to see things through
	2	1	Lacks perception & planning
	0		Not applicable
12. Leadership	10	9	Creative, stimulating; an outstanding leader
	8	7	Inspires confidence; sought out
	6	5	Able to lead when called on
	4	3	Has little influence on others
	2	1	Ineffectual as a leader
	0		Not applicable

13. Ability to train & develop staff	10	9	Generally achieves high level of staff competence
	8	7	Consistently achieves definite progress with each person
	6	5	Seeks to develop staff potential
	4	3	Rarely develops staff potential
	2	1	No training ability
	0		Not applicable

Total maximum points: 130 Total earnable points:_____ Total points:_____

Percentage:_____

Comments: (Evaluation is not complete without commentary by supervisor. Please use back of sheets if necessary.)

UNIVERSITY OF KENTUCKY LIBRARIES

PROFESSIONAL PERFORMANCE REVIEW

Name_____ Date_____

Department_____ Review Period_____

Position_____

S E C T I O N "A"

This section is to be filled out by the appraisee and returned to the Department Head or supervisor. It will be used as a basis for discussion during the performance interview. Use additional sheets if necessary and attach. If there are no significant changes from the form completed last year, check here_____ and go to section "B".

1. Briefly describe your present duties and responsibilities.

2. What projects or goals would you like to achieve during the next review period? Have you achieved the goals you expected to during the current review period? Please be as specific as possible in both answers.

3. Are there areas of your job in which you feel you need additional experience and training? If so please describe and explain your plan for meeting your needs.

4. What aspects of your job interest you the most? What activities gave you the most satisfaction during the past review period?

5. What aspects of your job interest you the least?

6. Are there changes which you would like to see made in your job so that you could improve your performance? If so, how would these changes benefit the library system?

S E C T I O N "B"

1. Please list any activities in which you have been involved during the current review period which have a direct bearing on your success as a librarian as it relates to your specific job assignment, the total library system, the university, and/or the library profession in general. Include such things as courses taken, conferences or workshops attended, research projects, publications, teaching, consulting, committee work, society memberships, etc.

The following definitions are to be used as guides in giving consideration to the Seven Areas to be Evaluated.

a. Judgment: Possesses the skill to analyze problems and arrive at sound conclusions from available facts in a logical, intelligent manner.

b. Quality of Work: Has ability to perform various functions of job with consideration given to difficulties encountered. Accuracy, thoroughness and dependability are qualities to be considered.

c. Quantity of Work: The amount of work done is sufficient when measured with other relevant factors such as level of responsibility, experience, and quality.

d. Professional Knowledge: Knows bibliographical tools, has the ability to use these tools intelligently in order to implement personal goals and the policies of the library which relate to the meeting of the needs of the patrons and staff.

e. Professional Growth: Develops the maturity to face the needs of the job, sets goals in considering these needs and shows a willingness to follow the course of action mutually agreed upon. Willingness to take part in programs of continuing education and able to suggest or recommend and/or accept changes in procedures and plans when needed.

f. Communication. Can accurately and effectively express his opinions and ideas concerning a problem or situation to the right person at the right time.

g. Attitude: Manner and orientation with reference to colleagues, work, and patrons is positive and effective.

The following definitionsare to be used a guides in assigning a level of achievement in each of the areas to be evaluated.

Outstanding- Superior performance in all respects. Shows exceptional promise for continued professional development.

Excellent- Excellent performance in most respects. Some minor weaknesses, but shows great promise for continued professional development, or an exceptionally high level of continuous performance.

Above Average- Good performance in most respects. Shows some weaknesses which could be overcome if properly

motivated, or maintains an unusual level of continuous performance

Average- Performance is satisfactory but not distinguished. Promise for continuing professional development seems to be lacking.

Below Average- Performance is uneven and somewhat unpredictable, resulting in a combination of good and bad results. Little promise for growth or further development.

Unsatisfactory- Performance is unacceptable.

S E C T I O N "C"

This section is to be filled out by the supervisor and read by the appraisee prior to the performance interview.
Use additional sheets if necessary and attach to appraisal form.

1. Do you agree with the job description as stated by appraisee? If not, please specify why not.

_____

_____

_____

_____

2. Review projects and goals in item 2, Section A. Can you suggest a time table for achieving or giving progress reports on these goals? Do you want to suggest any changes in those stated or establish additional projects or goals?

_____

_____

_____

_____

_____

(In completing the following seven items refer to the definitions on page 3. Circle the number in the left margin that corresponds to the level of performance for each item.)

3. Judgment and decision making. (Does the appraisee consider both the short-term and long-term consequences of decisions made? Does appraisee consider the impact these decisions will have on the total library system? Does appraisee apply good judgment in work situations?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

4. Comment on quality of work based upon the above job description. (Take into consideration the degree of excellence of a completed assignment in view of the amount of time and effort expended. Also consider thoroughness in following through to completion.)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

5. Quantity of Work.

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

6. Comment on Professional Knowledge of bibliographic resources: (consider the depth of familiarity the appraisee has with the standard library tools in the area of specialization and related fields, and whether or not the appraisee continues to keep up with the latest publications in the field. Does he demonstrate a comprehension of the campus wide responsibility of the library system?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

7. Professional Development. (Consider activities over and above the regular job ausignment that have had a bearing on the appraisees professional growth.) Study item 7 in Section A.

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

8. Oral and written communication. (Does the appraisee express herself (himself) clearly and accurately? Is the appraisee effective in meetings and conferences? Does the appraisee keep her (his) supervisor informed of project progress? Can the appraisee communicate effectively with the public and other members of the library staff?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

9. Attitude. (Is he pleasant, courteous, informative and cooperative with both his associates and patrons?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

10. Provide a summary statement of the strengths and weaknesses of the appraisee and indicate what should be emphasized during the next review period in order to improve performance. This may include such things as general attitude toward assigned duties, the ability to win cooperation from fellow librarians and/or a summary of any of the above items.

11. Final Rating Summary.

Category	Level of Performance Score	Multiplied by	Relative Weight of Importance		Subtotal
Judgment	_____	X	_____	=	_____
Quality of work	_____	X	_____	=	_____
Quantity of work	_____	X	_____	=	_____
Professional knowledge	_____	X	_____	=	_____
Professional growth	_____	X	_____	=	_____
Communication	_____	X	_____	=	_____
Attitude	_____	X	_____	=	_____
		Total Performance Score			_____

Note: Fill in Relative Weight of Importance of 1-5 for each category; total must equal 20. In order to calculate final rating, multiply the score in each category by the designated weight. Add the subtotals to obtain Performance Score. Divide Performance Score by 20 - carry to two decimal places and round to nearest tenth. Place this final numerical rating within the appropriate numerical range below.

Total Performance Score _____ ÷ 20 = ____ (Numerical Rating)

Numerical Range	4.0	3.9 - 3.5	3.4-3.0	2.9-2.5	2.4-2.0	1.9-1.0
Numerical Rating						
Verbal Rating	Outstanding	Excellent	Above Average	Average	Below Average	Unsatisfactory

Appraisor's Signature_____ Date_____

12. Appraisee's Comments. (Optional)_____

_____

_____

_____

13. I have seen and discussed the ratings on this review and (I do) (I do not necessarily)agree with the ratings and comments.

Appraisee's Signature_____ Date_____

Notre Dame

SUGGESTED CRITERIA FOR PROMOTION OF LIBRARY FACULTY

A. Research or Scholarship

1. Publication. Examples:

   a. publication may be in any academic area--the work of an academic librarian may well benefit from insight into research methodology and problems
   b. articles or books on professional matters
   c. speeches or presentations
   d. book reviews
   e. translations and abstracts

2. Administrative records involving extensive research and the exercise of professional judgment

3. Bibliographies

4. Creative work. Examples:

   a. a recognizable achievement that spills over into the understanding of the needs of library users
   b. something put to work for library purposes, as designing an exhibit or planning a musical or literary program.

5. Continuing education.

B. Teaching (as interpreted for librarians)

1. Formal classes in bibliography

2. Orientation activities; demonstrated effectiveness in formal and non-formal education programs concerning the resources and use of university library services and facilities

3. Special projects in acquisition or cataloging carried out with cooperation of academic department. Examples:

   a. participation in effort to acquire "out-of-print" books to support teaching program

b. participation in the recataloging of a large collection to make it more accessible to students
c. adapting of cataloging practices to non-book materials so that they can be more readily available.

C. Professional Competence and Activity

1. Active participation in professional associations

2. Awareness of and knowledgeability in matters of educational philosophy and administration

3. The undertaking of various administrative responsibilities. Examples:

   a. may include heading a department
   b. directing a special project
   c. instructing new employees and supervising their work
   d. serving on committees concerned with library policies and operations

4. Foreign language competence

D. Service to the University. Examples:

1. Serving on various university committees

2. Participating in special university projects

3. Serving on various public committees as a representative of the university

4. Contributing professional expertise to public concerns

E. Special Considerations

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

ST. LOUIS, MISSOURI 63130

November 13, 1973

PERFORMANCE REVIEW

To: Members of the Library Staff

From: John M. Strecker, Assistant University Librarian

Re: Job Performance Evaluations for Non-academic Staff Scheduled for November-December 1973

The evaluation procedure used last year has been reviewed by the Department Chiefs and the Personnel Policy Advisory Committee. Basically the same procedure will be followed this year, except for modifications recommended by the department heads and the Committee. Staff members who have held the same position for five or more years will be exempt from the evaluation procedure.* New staff members (less than nine months service in the particular position) receive evaluations after three and six months of service and, therefore, do not receive the annual evaluation. The written evaluations completed last year will be made available to the staff member and the supervisor in order that any plans, recommendations, or suggestions recorded in last year's evaluation can be reviewed.

The evaluation consists of the following components:

1. Review and revision of Job Description
2. Review of last year's Performance Evaluation Summary
3. Evaluation of job performance based on specific duties assigned
4. Discussion of any significant problems involving supervision of staff member's work
5. Job satisfaction
6. Goals for future relative to present or higher level job
7. Assessment of requirements (experience, training, etc.) to achieve goals.

The first phase of the performance evaluation is the review of the Job Description. After the staff member and his/her supervisor have reviewed the Job Description and made any necessary revisions to make it as accurate and complete as possible, the supervisor schedule a conference with the staff member to discuss points 2 through 7 above. A form (Performance Evaluation Summary) will be used to record the results of the conference. At the conclusion of the performance evaluation the staff member and the supervisor sign the form; the original is filed in the individuals personnel file in the Administrative Office and a copy is given to the staff member.

The Guidelines for the Performance Evaluation and the various forms will be sent to Department Chiefs in a few days.

*(Any staff member, regardless of years of service, may request and receive a performance evaluation, however; also the supervisor may schedule an evaluation for any staff member under his/her supervision.)

VII. B.

WASHINGTON UNIVERSITY LIBRARIES

ST. LOUIS, MISSOURI 63130

November 13, 1973

To: Department Chiefs, Departmental Librarians

From: John M. Strecker, Assistant University Librarian

Re: Job Performance Evaluations for Non-academic Staff

As we discussed in a recent department heads' meeting, the annual performance evaluations for non-academic staff have been scheduled for November-December. Because of a delay in getting the required materials to you, the deadline for completion of this work has been moved ahead to December 14.

Although staff with less than nine months' service in a position (by December 14) and those with five or more years in a position are exempt from the evaluation procedure, the Job Descriptions for all positions held by non-academic staff should be reviewed at this time. If no changes are necessary, please indicate that a review was made and the date on the Job Description.

Last year's Performance Evaluation Summaries are being forwarded for review. Please be sure to return these with the Summaries that will be completed in connection with this annual evaluation. Please staple the latest Summary for a staff member on top of last year's before sending them to the Administrative Office and group the Job Description forms separately from the Summaries.

The material listed below is being forwarded for use in connection with the performance evaluation:

1. List of staff who are exempt from 1973 evaluation
2. Set of last year's Performance Evaluation Summaries
3. Set of Job Descriptions for all non-academic staff positions in your department
4. Copy of letter being sent to each staff member, explaining the evaluation procedure
5. Job Description forms to be used in preparing updated descriptions
6. Copy/copies of Guidelines for Performance Evaluation
7. Samples of completed Job Description form

.01

VII. B.

WASHINGTON UNIVERSITY LIBRARIES

GUIDELINES FOR PERFORMANCE EVALUATION
(NON-ACADEMIC STAFF)

PURPOSE: The purpose of the evaluation is outlined below:

1. To evaluate staff member's work performance since the last review.

2. To obtain the staff member's views concerning quality of supervision he receives and to work out any problems that may exist in the area of supervision.

3. To conduct an annual review of the job description for each position, with any necessary revision being done by the incumbent and his supervisor.

4. To insure that the staff member understands his duties and responsibilities and to clarify them if necessary.

5. To assess the staff member's satisfaction with his present job and interest in and potential for re-assignment or advancement.

6. In connection with 5., to assess what skills or special training are needed to qualify for a particular position or positions and the availability of appropriate training programs (courses, in-service training, etc.).

PROCEDURES:

1. The department head or supervisor informs the staff member the date and time of the evaluation conference and gives him a copy of the job description for his position. (Previous to this, the University Librarian has sent a letter to all non-academic staff explaining the purpose of the evaluation.)

2. Prior to the evaluation conference, the supervisor and staff member review the description and make any necessary revisions.

3. In the evaluation conference itself, the supervisor discusses the staff member's performance in the job. The revised job description may serve as a framework or outline for reviewing the performance in the various duties assigned. Points 4, 5, and 6 (under Purpose) should be covered in the discussion as appropriate. The supervisor summarizes the discussion under Section II of the Performance Evaluation Summary. If goals are set, these should be stated along with a recommendation as to how goals may be achieved.

4. The staff member is given the Performance Evaluation Summary to review. He writes his comments under Section III, adding any points which the supervisor has missed and indicating his reaction to the supervisor's comments. He then signs the form in the space provided and returns it to supervisor for his signature. He may, of course, request clarification from his supervisor on any aspect of the supervisor's summary. The department chief is responsible for seeing that a photocopy of the Performance Evaluation Summary is made and given to the staff member and that the original is forwarded to the Administrative Office for review and filing in the staff member's file.

(10-11-72)

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION SUMMARY

NAME _____

JOB TITLE _____ CLASSIFICATION _____

DEPARTMENT _____

SECTION I. REVIEW AND REVISION OF JOB DESCRIPTION. (Attach current revised job description.)

SECTION II. SUPERVISOR'S SUMMARY OF PERFORMANCE EVALUATION CONFERENCE

SECTION III. STAFF MEMBER'S COMMENTS CONCERNING PERFORMANCE EVALUATION CONFERENCE

_____
Signature of Staff Member/Date

_____ _____
Signature of Supervisor/Date Signature of Dept. Chief/Date

Distribution:
Staff member
Staff member's file, Admin. Office

WASHINGTON UNIVERSITY LIBRARIES

JOB DESCRIPTION FORM — NON-ACADEMIC POSITION

Job Title_____ Department_____

Classification_____ Prepared by_____

Date_____

Introduction:

Description of Duties:

(Continue on second sheet, if necessary)

Form 19
Rev. 10/19/72

VII. B.

WASHINGTON UNIVERSITY LIBRARIES

Evaluation Date: _____

Began Work: _____

To: Assistant Director for Reader Services/Technical Services

Subject: Three-month Evaluation for _____

_____ Department

The following is my evaluation and recommendation concerning the staff member named above.

1. A _____ Staff member is not able to meet the requirements of this position; termination is recommended.*

   B _____ Staff member shows promise, but must make more progress in the following areas before qualifying for regular appointment:

   C Staff member is making satisfactory progress.

2. The staff member's progress and my recommendations were discussed with him on _____.

_____

Department Chief or Supervisor

* A recommendation for termination should be discussed with the Assistant Director before a discussion with the employee.

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

Evaluation Date:_____

Began Work:_____

To: Assistant Director for Reader Services/Technical Services

Subject: Six-month Evaluation/Recommendation for Continuing Appointment for _____;_____Department

The following is my evaluation and recommendation concerning the staff member named above.

1. A_____This staff member has performed satisfactorily during the first six months in the position and is recommended without reservation for continuing appointment.

*B_____I am not able to recommend this staff member for continuing appointment at this time; I wish to evaluate his performance again in three months because of the circumstances described below:

C_____This staff member is not recommended for continuing appointment. **The reasons are stated below:

2. The staff member's progress and my recommendations were discussed with him on _____.

_____
Department Chief or Supervisor

*Use reverse side if additional space is needed.

**A recommendation for termination should be discussed with the Assistant Director before discussion with the staff member.

GUIDELINES FOR PROFESSIONAL STAFF EVALUATION

PURPOSE:

The professional evaluation may be considered in part as the annual report of the individual staff member, particularly those who are not department heads. It is intended to give the staff member the opportunity to record his accomplishments during the period and his goals for the future. It is used as a basis for discussion of these goals with the supervisor and the consideration of any problems the staff member may have encountered in the work situation. The evaluation becomes a part of the staff member's permanent record and provides information useful for the staff member's future development.

PROCEDURES:

The evaluation is conducted following the first six months in a professional position. It should be conducted annually thereafter for the first seven years on the library staff, ordinarily being due in January each year. If a promotion or transfer to another position occurs after the first seven years, it will be conducted after the first six months in the new position. The professional staff evaluation may be conducted at any time for any professional staff member at his request or at the discretion of the University Librarian.

The following steps are to be followed in the evaluation:

1. Written self-evaluation.

This consists of a statement written by the staff member indicating his appraisal of his performance during the period covered by the report. This should include, but is not confined to the following: (1) accomplishments realized as part of the regular work assignment and/or outside the regular work assignment, e.g., through work on Library committees; (2) professional activities carried out through A.L.A., or other relevant organizations; (3) problems, frustrations encountered in the position; (4) work-related goals and objectives and formal or informal training which would aid in achieving these goals.

2. Written comments by supervisor.

The supervisor should comment concerning the performance of the staff member in the position, and should respond to the staff member's self-evaluation as appropriate.

3. Conference between staff member and supervisor.

4. Written comments by staff member evaluated, responding to those of the supervisor (optional).

5. Assistant Director/University Librarian review.

The staff member should have a minimum of 24 hours to review the supervisor's written evaluation before the discussion-interview (step 3) takes place. The use of the evaluation form is optional; however, the steps outlined above should be followed. The evaluation procedure will apply to professional staff promoted after January 1, 1971. The annual evaluation will not apply ordinarily to present staff hired prior to 1966. As stated above, an evaluation may be scheduled for any staff member at his request or the request of the University Librarian.

1-17-72

CONDITIONS OF EMPLOYMENT

Sept 26, 1974

PERFORMANCE REVIEW

DRAFT

Promotion Plan for Librarians at the University of Maryland, College Park

INTRODUCTION

> "The academic librarian makes a unique and important contribution to American higher education. He bears central responsibility for developing college and university library collections, for extending bibliographical control over these collections, for instructing students (both formally in the classroom and informally in the library), and advising faculty and scholars in the use of these collections. He provides a variety of information services to the college or university community, ranging from answers to specific questions to the compilation of extensive bibliographies... Through his own research into the information process and through bibliographical and other studies he adds to the sum of knowledge in the field of library practice and information science. Through membership and participation in library and scholarly organizations, he works to improve the practice of academic librarianship, bibliography, and information service." (ACRL, "Standards for Faculty Status for College and University Librarians," College and Research Library News, May 1974.)

For too long the traditional administrative organization of academic libraries has followed the hierarchial array which recognizes authority and decision-making responsibilities as the basis for status and salary. Unless a librarian in the UMCP library system chooses the administrative route, the second level is the end of the road--and that only if a vacancy exists which may often be outside the person's area of specialization. An adequate promotion policy would stimulate each librarian to develop to the fullest possible extent professionally and would recognize outstanding performance in technical, bibliographic and subject areas which contribute to the educational and research missions of the University of Maryland.

In early 1973 the members of the Library Assembly charged the Conditions of Employment Committee with the study of promotion in place on the basis of merit. The Committee undertook the study and set as its objectives:

1) the formulation of a flexible promotion policy under which there would be opportunities for advancement to equally high levels in non-administrative as well as administrative positions and without necessarily changing job assignments;

2) the definition of the professional ranks in clear terms of qualifications and responsibilities;

3) the development of a fair evaluation procedure for each librarian's performance; and

4) the development of preliminary guidelines for implementation of the promotion plan.

The committee collected for study the policies of twelve other institutions known to have such a system in practice or under consideration, and it acknowledges its great debt to them not only for ideas, but also some statements.

At this time the committee presents for the consideration of the Library Assembly a plan for promotion of librarians at the University of Maryland, College Park.

The plan as formulated is intended to extend to all professional positions except administrative positions with the rank of Assistant Director and above and professional personnel in the Automation Services Department. The proposed four levels are to be called Librarian I, II, III, and IV, with each level requiring more advanced knowledge, competence, and evidence of professional growth. The plan offers alternative career ladders with opportunities for the librarian to advance in rank to the top rung in non-supervisory as well as supervisory positions. Since organizational requirements of the library system must determine the supervisory and administrative positions, a librarian cannot expect to secure an administrative promotion unless a vacancy exists. The non-administrative route, however, affords greater flexibility and librarians can be promoted on the basis of sustained excellence of performance and progressive professional development.

The beginning level is not intended to be a career grade. There are few positions that are inherently on the Librarian I level, but it is anticipated that normal turn-over will make possible the recurring appointment of beginning professionals to such positions, and it is understood that whenever possible vacancies will be filled at the beginning level.

The step from Librarian I to Librarian II is based on competent performance and is usually made at the end of the second year, never after the end of the third. A librarian who is not judged competent enough to be promoted must leave the library system. There will be no exceptions to this rule except for those present staff members who in the final ranking are retained at the first level. It is desirable that the supervisor detect incompetence during the first year probationary period and that at least six months notice be given, although the Associate Staff handbook requires only one month.

To move from Librarian II to Librarian III requires more than merely a satisfactory performance. Professional Level II, however, can be a career position and a librarian may remain at it indefinitely. It should be emphasized that seniority or length of service (except in so far as specified length of service is a requirement for promotion) is not to be a considering factor in promotions. The primary criterion is excellence of performance. Additional education, relevant research, and professional activities must be considered, but only as they enhance an already good performance. No number of advanced degrees or publications or committee assignments can compensate for poor job performance.

DEFINITIONS OF PROFESSIONAL LEVELS AND THE CRITERIA FOR APPOINTMENT OR PROMOTION

Librarian I

Definition:

This is the beginning professional rank, and it includes positions in which a wide variety of professional duties are performed. A person at this rank is understood to have had little or no professional experience and initially works under close supervision and follows established procedures.

Ordinarily by the end of two years the incumbent should be performing his duties with competence and should have demonstrated those professional qualities that merit his advancement to Librarian II. If not promoted by the end of the third year, the incumbent is not allowed to remain on the library staff, but he is given at least six months notice of his termination.

Criteria for appointment:

A person appointed to this rank customarily has a graduate degree in library science from an accredited institution and evidence of the potential for a successful career in librarianship. Persons who do not have such a degree but do have graduate level education in a subject appropriate to a library operation may occasionally be considered for appointment at this grade. For certain appointments a special subject knowledge or a working knowledge of one or more foreign languages is desirable or might be

required (e.g., a subject knowledge of business is desirable for a beginning business librarian, but a subject knowledge of music is required of a beginning music librarian).

Librarian II

Definition:

This is the rank to which librarians who have fully demonstrated professional competence either in the first professional level at the University of Maryland or in a comparable position elsewhere are promoted or appointed. Performance at this level is expected to be more advanced than at Professional Level I. On the projects where incumbent has had experience, general direction is all that is necessary. The incumbent may supervise the work of others.

At the end of two years the incumbent will be considered for promotion to Librarian III. Competent performance of assigned tasks, however, is never sufficient ground in itself for promotion. A librarian may stay indefinitely at the II level.

Criteria for appointment or promotion:

In addition to the basic qualifications for Librarian I this level requires at least two years of either professional library or other appropriate professional experience and demonstrated competence and skill in a specified area. The librarian must have given evidence of the ability to work well independently, to make sound decisions, to cooperate with colleagues, and to assume increasing responsibility. When applicable, supervisory skills, knowledge of foreign languages and subject specialties are desirable.

Librarian III

Definition:

This grade includes both administrative and non-administrative positions that require an advanced degree of specialization in a linguistic, technical or subject area related to the programs of the University of Maryland. The incumbent works independently, subject only to general review, and is expected to perceive and recommend methods of improving the library's services and procedures.

Criteria for appointment or promotion:

A person appointed or promoted to this grade must have a graduate degree in library science and four or more years of progressively responsible professional experience. The candidate must be a specialist in a substantial subject area (e.g., science, history, music) or in a complex technical field (cataloging, serials, bibliography, reference). For administrative positions candidates must have given evidence of supervisory and planning ability, leadership and good judgment. Candidates are expected to have an active interest in improving their professional or subject knowledge. Appointment or promotion to this level would be based on such factors as implementation of new methods and procedures, ability to foresee problems and devise means to overcome them, research, and publication. Appointment or promotion would also depend on a total assessment of a person's work rather than on any single accomplishment, but the essential characteristic of the Librarian III would be demonstrable achievement which goes beyond the limits of competent performance.

Librarian IV

Definition:

This grade includes both administrative and non-administrative positions that require recognized mastery of a major area of scholarship or an area of librarianship. Work is performed independently, with broad responsibility for results. The incumbent is responsible for recommending and implementing policies in consultation with other officers of the library administration.

Criteria for appointment or promotion:

In addition to the basic qualifications for the Professional Level III, appointment or promotion to this level requires also a graduate subject degree or a post masters degree in library science and seven or more years of progressively responsible professional experience, at least one in the system at the Professional Level III. Candidates must possess recognized mastery of a major area of scholarship (e.g., humanities, social sciences) or in a complex technical field (e.g., reference, cataloging, serials, bibliography). The candidate must have given demonstrable evidence of professional achievement in one or more of the following areas: research

and publication in either an appropriate subject area or in the field of library science and information retrieval; creation of significant innovations with respect to the library's collections, services or methods; participation in the library's or the university's teaching program; contributions to the library profession through active participation in professional societies. For administrative positions, the candidate must have demonstrated exceptional administrative and planning ability, leadership, sound judgment, and the ability to develop and evaluate proposals for improving the library's services and procedures.

PERFORMANCE APPRAISAL

A rigorous and fair appraisal procedure is essential to the success of this promotion plan, and is in the interests of both the individual and the Library. The committee recommends that an annual written review of the work of each librarian be made by the administrative officer of the department or unit in close consultation, where appropriate, with the immediate supervisor. It further recommends that the library system move as rapidly as possible toward the concept of management by objectives. Until, however, supervisors can be trained in this technique for measuring performance the committee feels that a combination of the evaluation essay and goal-setting be used.

The committee studied many evaluation forms and came to the conclusion that there is no perfect one. It presents tentatively the following three forms which together form the total Librarian Performance Evaluation:

1) The Annual Progress Report: This is the record of the librarian's activities for the past year and should be completed by the librarian and turned in to the rater at least two weeks before the evaluation;

2) The Goal-Setting Statement: After filling in the Annual Progress Report, the librarian records in this section the plans for the coming year, both regular assignments and special projects. How they are to be accomplished and how success or failure in meeting them can be measured should be included where appropriate. This is given to the rater with the Annual Progress Report. Objectives should be mutually established between the supervisor and the individual and it is possible that after discussion the goals will need to be revised--upwards or downwards. Once goal-setting

has been established, it becomes the most vital part of the evaluation process. It will be used to review the performance at the end of the year, thus will provide documentation for the evaluation.

3) The Evaluation of the Librarian's Performance: The form that the committee presents permits flexibility while at the same time giving clear guidelines so that all staff members will be judged by the same criteria. It aids supervisors in making an objective and comprehensive judgment of the librarian's performance. Professional service in the library, professional activities outside the library relevant to the candidate's position, research and other creative work, university and public service, and behavior on the job are all appropriate criteria to be considered in an evaluation, but excellence in job performance should carry more weight than the others.

Realizing that too few librarians in administrative positions have been properly trained in performance appraisal, the Conditions of Employment Committee strongly recommends the appointment of a Personnel Officer. Further investigation of the position is needed to define the necessary qualifications of this officer. The Personnel Officer would provide guidelines and training in making a fair performance appraisal and conducting the evaluation interview, would be an ex-officio member of all review committees to ensure continuity in the evaluation and review process, would also have full responsibility for the organization and implementation of personnel policies within the library system, including the establishment of staff orientation and development programs, and supervisory and management training. The committee would like to recommend that these programs be developed in cooperation with the Committee on Professional Development. Until this recommendation is implemented, it is recommended that the Administrative Assistant to the Associate Director or an experienced librarian appointed by the Executive Board of the Library Assembly and approved by the members assume the role.

Annual Progress Report - Librarian

Name: Title:

Date:

1. Description of typical activities and special projects or assignments related to position such as systematic development of one or more areas of the library's resources and collection; cataloging, classifying, or otherwise extending the bibliographic control over the library's collection; providing guidance and assistance in the use of the library's bibliographical apparatus and collections; providing formal instruction in research methods and library use; organizing or managing the operations of a library department, a branch library, or other library unit.

2. Professional activities (relevant to better performance)
Education during the year, special library or university assignments, active membership in professional organization, offices held, research and publication, etc.

GOAL-SETTING STATEMENT

Name _____ Date:

Please describe your goals for the coming year, including means to achieve them and, where possible, measures of success.

1. Job skills and regular assignments

2. Special projects

3. Professional development

SUPERVISOR'S COMMENTS:

Explanations for use with Librarian Performance Evaluation Form

Professional Service in the Library - Definition of terms

Quality of work - ability to analyze situations and to reach sound conclusions; to approach problems imaginatively; to use job knowledge creatively; to be thorough and accurate; to contribute new and workable ideas; and to respond to new ideas and procedures.

Quantity of work - ability to plan, organize and schedule work; to set and meet realistic performance goals; to carry work load involving varied and concurrent activities; and to handle special assignments.

Dependability - judgment, discretion, punctuality, absenteeism, conscientiousness, application to duty, abuse of privileges, effects of habits on the work of others, ability to understand and follow instructions, personal stability and willingness to accept the responsibility of the position.

Initiative - ability to act decisively, effectively, and at appropriate times on own initiative; to be resourceful in dealing with complex as well as routine situations; and to anticipate needs and take necessary action without being directed to do so.

Supervisory skills - ability to select, place and train personnel; to assign and delegate work; to define authority and responsibility; to guide and lead; to produce an effective working team; to conduct objective performance appraisals; and to promote and encourage staff development.

Relations with other people - ability to build and maintain good relations with colleagues and library clientele; to cooperate with members of own and other departments in such a way as to inspire their respect and cooperation; to respond positively to criticism; and to communicate effectively with supervisor.

Recommendations of Supervisor

In this section consider whether in your opinion the staff member is well placed in present assignment. Has staff member demonstrated readiness for greater responsibility? Are there specific recommendations for further training or education to be taken during the coming year?

ANNUAL LIBRARIAN PERFORMANCE EVALUATION FORM

Name: Department:

Rank: Date:

I. Department Head's description of assigned responsibilities:

II. Professional Service in the Library

Consider such factors as systematic development of one or more areas of the library's resources and collection; cataloging, classifying, or otherwise extending the bibliographic control over the library's collection; providing guidance and assistance in the use of the library's bibliographical apparatus and collections; providing formal instruction in research methods and library use; organizing or managing the operations of a library department, a branch library, or other library unit.

Also to be considered are the areas of quality of work, quantity of work, dependability, initiative, supervisory skills, and relations with other people. Evaluator should give examples to support general statements.

III. Professional activities outside the library

Consider further relevant education during the year, special library or university assignments, active membership in professional organization, offices held, research and publication, etc.

IV. Recommendations of Supervisor

Recommend for reappointment _____
Recommend for non-reappointment _____
Recommend for promotion from _____ to _____

Signed: _____
Department Head

Comments on the Evaluation

The librarian may use this space to comment on his evaluation. Such comments are optional.

I acknowledge by my signature that I have read this evaluation and have discussed it with my department head.

Signed: _____
Librarian

PROCEDURES FOR REVIEW AND PROMOTION

Any librarian who is eligible for promotion to the next level will be reviewed. Every recommendation for reappointment, non-reappointment, or promotion must be documented. The annual evaluation by the department head, together with the Annual Progress Report and the Goal-Setting Statements of the librarian, are important parts of the record. The evaluator is responsible for obtaining, reporting and considering all available evidence and basing his recommendations on that evidence, the library's needs, and the individual's welfare. The documents, the deliberations of the committee and the recommendation will be treated as confidential.

Promotion from Librarian I to Librarian II is recommended in writing to the Director of Libraries by a committee composed of the candidate's chain of command up to and including the Assistant Director and the Personnel Officer, who serves ex officio. Promotions above Librarian II are recommended in writing to the Director of Libraries by an ad hoc Promotion Committee appointed by the Committee on Appointments of the Library Assembly. This committee will consist of the supervisor of the position into which the librarian is eligible to be promoted, two librarians equal to or higher than the position, at least one of whom is from another department in the library system, and the Personnel Officer as an ex officio member.

The following schedule for each level is established:

LIBRARIAN I

Six months	Preliminary review by department head.
One year	Review by committee of supervisors - recommendation to the Director for one year appointment or separation.
Two years	Review by committee of supervisors with Personnel Officer as ex officio member - recommendation for promotion to Librarian II, or one further year appointment as Librarian I, or separation.

Three years	Review by committee of supervisors with Personnel Officer as ex officio member - recommendation for promotion to Librarian II or separation.

LIBRARIAN II

One year	Review by department head.
Two years	Review by Promotion Committee; recommendation to the Director for promotion if that is the committee's decision.

LIBRARIAN III

One, two/three years	Review by department head.
Three/four years	Review by Promotion Committee; recommendation to the Director for promotion if that is the committee's decision. The committee may request statements from other librarians and/or faculty members who would have reason to know the quality of the candidate's performance.

If promotion is denied to any level above Librarian II, the candidate must wait two years before again being reviewed, unless the promotion was recommended by the Promotion Committee but denied due to budgetary limitations.

In cases in which there is a difference of opinion between the committee and the Director concerning the recommendation, the Director will present his reasons for rejection to the Committee and request a reconsideration.

INDIANA UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION FORM

This performance evaluation form has been designed by the Indiana University Libraries Ad Hoc Committee on Professional Criteria. Its purposes are as follows: (1) to evaluate the performance of librarians; (2) to provide relevant information for the promotions and tenure committee which will recommend initial rankings and tenure under the Library faculty status system; (3) to update librarians' personnel files; (4) to aid the librarian in identifying with his/her supervisor(s) those areas in which performance can be improved. This form attempts to evaluate a number of characteristics of job performance and professional attitudes related to job performance. It is not intended to evaluate a librarian's professional activities beyond the performance of his/her primary responsibilities. Information of this nature will be secured through the "Profile of Professional Activities" which each librarian has been asked to submit.

Your committee realizes that this form is not perfect. This form, or one similar, will be used in the future, probably annually, and revisions can be made as the library faculty, supervisors, administrators, and the promotion and tenure committee gain experience.

Please keep in mind that not all items may apply to all librarians. In such cases, the items should be marked N/A (Not Applicable). On the other hand, there may be some aspects of a librarian's job performance or special abilities which may not be adequately covered by this form. In such cases, the evaluator or the librarian may indicate this in the space provided for comments.

Your committee recommends that the evaluation be done by the department head in conjunction with the immediate supervisor (where appropriate). In order to provide a thorough discussion of each librarian's evaluation, the following procedure is recommended:

(1) Carefully review the entire form and the librarian's performance.

(2) Discuss the librarian's performance frankly and objectively with him/her.

(3) Complete the form.

(4) Show the form to the librarian to sign in the appropriate space. If the librarian disagrees with the evaluation or wishes to make additional comments, he/she has the option of appending his/her remarks.

INDIANA UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION FORM JANUARY 1973

LIBRARIAN (NAME)_____

POSITION_____

DEPARTMENT_____ CAMPUS_____

PLEASE RATE THE CHARACTERISTICS BELOW USING THE FOLLOWING SYMBOLS.

O.....OUTSTANDING (EQUALLED BY FEW OTHERS)

VG.....VERY GOOD (EXCELLENT, WELL ABOVE-AVERAGE)

G.....GOOD (ABOVE AVERAGE)

A.....AVERAGE (ACCEPTABLE OR SATISFACTORY)

F.....FAIR (BELOW AVERAGE)

U.....UNSATISFACTORY

N/A.....NOT APPLICABLE

RATING	ITEM
_____	1. Effective accomplishment of professional responsibilities.
_____	2. Demonstration of creativity and initiative.
_____	3. Ability to work independently.
_____	4. Ability to identify library problems and to promote their solutions.
_____	5. Willingness to consider and to accept ideas and alternative approaches to services and procedures.
_____	6. Understanding of the various operations and services of the library and an ability to interpret and integrate them.
_____	7. Cooperation with members of the library staff, faculty, and students in furthering the objectives and priorities of departments, the library, and the university.

RATING ITEM

_____ 8. Willingness to accept responsibility and/or leadership when needed within the department, library, and university.

_____ 9. Ability to apply constructive criticism and suggestions.

_____ 10. Ability to perform in a dependable and reliable manner.

_____ 11. Approachability, communicativeness, and receptiveness.

_____ 12. Willingness and ability to pursue patron problems to satisfactory solutions.

_____ 13. Familiarity with the teaching and research programs of the campus and with the research processes appropriate to the various disciplines and an ability to translate this knowledge into effective service.

_____ 14. An ability to apply the principles of cataloging and classification effectively and accurately.

_____ 15. Effectiveness in applying bibliographic techniques to the acquisition, development, and organization of library collections.

_____ 16. Stimulation of faculty and student use of the library and other bibliographical resources and effective assistance to faculty and students in their exploitation of resources.

_____ 17. Cooperation with other libraries and institutions to facilitate research and to develop regional and national library services.

_____ 18. Ability to set objectives, express them in meaningful documentation, and plan their execution.

_____ 19. Decisiveness and efficiency in decision-making processes and effectiveness in the execution of policy decisions.

_____ 20. Ability to delegate authority.

_____ 21. Ability to plan, organize, coordinate, and direct operations and subordinate parts of departments or divisions.

RATING ITEM

_____ 22. Effectiveness in establishing professional or clerical training programs.

_____ 23. Ability to encourage effective performance.

_____ 24. Impartial and sensitive evaluation of staff.

_____ 25. Fair and considerate treatment of subordinates.

_____ 26. Ability to communicate with administrators, colleagues, and staff.

_____ 27. Alertness to new methods and technological changes.

COMMENTS OF EVALUATOR(S) (APPEND ADDITIONAL SHEET IF NECESSARY)

COMMENTS OF LIBRARIAN EVALUATED (OPTIONAL) (APPEND ADDITIONAL SHEET IF NECESSARY)

SIGNATURE OF DEPARTMENT HEAD _____

POSITION _____ DATE _____

SIGNATURE OF IMMEDIATE SUPERVISOR (IF APPLICABLE) _____

POSITION _____ DATE _____

SIGNATURE OF LIBRARIAN EVALUATED _____

DATE _____